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ABSTRACT

The position taken in this paper is that the distinction usually made between faculty evaluation and faculty development is not altogether valid. In most cases, these two programs share the goal of the improvement of college teaching, as well as sharing many programming elements, policies, and procedures. This research focuses on the extent to which currently proposed models of faculty development and evaluation have been implemented in higher education. It also reviews some of the current research on student, colleague, administrator, and self-evaluation of college teachers. Four faculty development and three faculty evaluation programs illustrate the dynamic nature of current programs, and one program attempts to combine the two concepts into "growth contracting." (Author/MSE)

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# Faculty Development and Evaluation in Higher Education

Albert B. Smith

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# Faculty Development and Evaluation in Higher Education

**Albert B. Smith**

ERIC/Higher Education
Research Report No. 8
1976

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## Foreword

Faculty development and evaluation are areas of primary importance to the success of all higher education institutions. In this research report, a survey is made of a variety of such programs that are either in effect or proposed. Four faculty development programs and three faculty evaluation programs provide the focus for this discussion. Also reviewed are current research findings on student, colleague, administrator, and self-evaluation of college teachers. One of the issues over which opinion is divided is whether evaluation and development programs should be combined. It is the opinion of the author that they should be and that "growth contracting"—whereby individual faculty design development plans for their professional growth—is the best approach to date. Albert B. Smith is an associate professor of higher education in the Department of Instructional Leadership and Support at the University of Florida, College of Education, in Gainesville.

Peter P. Muirhead
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## Overview

It is unusual for the topics of faculty development and faculty evaluation to appear together in one publication. Usually these topics are discussed separately in books, book chapters, monographs, or papers. This practice may have led to the belief that these two topics have little relationship to one another. It may also have caused some college administrators and faculty members to take the position that faculty development and faculty evaluation should be administered as separate programs. The position taken in this paper is that such a distinction is not altogether valid given what we know from the literature and research. For example, the literature reviewed here clearly shows that these two programs in most cases share a common goal, i.e., the improvement of college teaching, as well as many of the same programming elements, policies, and procedures. This finding alone adds strong support for the practice of combining faculty development and evaluation into one program.

The current status of faculty development and evaluation programs in the United States is not well known. This research review attempts to correct that situation. It will focus on the extent to which currently proposed models of faculty development and evaluation have been implemented in higher education. It will also review some of the current research on student, colleague, administrator, and self-evaluation of college teachers.

Other sections of the paper describe four faculty development and three faculty evaluation programs. The four faculty development programs are: (1) Syracuse University's Center for Instructional Development; (2) the Great Lakes Colleges Association's (GLCA) Consortial Experiment in Faculty Development; (3) Florida's Community College Staff and Program Development (SPD) Project; and (4) Kansas City Regional Council for Higher Education's (KCRHE) Center for Professional Development. The three faculty evaluation programs are: (1) Purdue University's "Cafeteria" System for Course and Instructor Evaluation; (2) Burlington County College's Evaluation, Reviews, and Appeals Procedure; and (3) Kansas State University's Center for Faculty Evaluation and Development in Higher Education. The descriptions of these programs should provide the reader with an understanding of the dynamic nature of current faculty development and evaluation programs.

The final section describes growth contracting as it has been proposed at Gordon College in Wenham, Massachusetts. This type of program attempts to combine the two concepts of faculty development and evaluation.

## Concepts, Models, and Definitions

Faculty development and evaluation share a common characteristic, i.e., they have both been subjected to varying interpretations in our colleges and universities. However, in recent years some consensus as to the meaning of the terms is developing. This section provides some of the more widely used definitions of these terms, describes some proposed faculty development and evaluation models, and discusses some elements these models have in common.

*Faculty Development*

New pressures on colleges and universities in the form of stabilizing enrollment patterns, limited or declining financial resources, collective bargaining, and requests for increased accountability have resulted in the reexamination of traditional concepts of faculty development. This has lead to a broader definition of the term. Prior to the 1970's, faculty development activities included such programs as sabbatical leaves, faculty orientation sessions, travel to professional conferences or similar events, participation in faculty workshops, and research support. Thus, the most active professional development programs of the past were those designed to help professors upgrade and update knowledge of their academic specialties. These traditional concepts of faculty renewal have been called into question and new concepts have emerged.

One of the best research reports on new faculty development concepts and programs is Jerry Gaff's (1975a) book, *Toward Faculty Renewal*. Gaff surveyed the directors of approximately 200 instructional development or teaching improvement centers in an attempt to identify new trends in the area of faculty development. Fifty-five directors from these centers completed a questionnaire about the operation of their programs. Gaff found three different but related approaches to improving instruction in higher education, which he identifies as as "faculty development," "instructional development," and "organizational development." According to Gaff, each of these approaches, tends to focus on different areas, strives after different goals, draws from different intellectual traditions, and involves different activities. The essential characteristics of each approach are summarized in Table 1.

*Table 1. Alternative Conceptions of Instructional Improvement*

| | Faculty Development | Instructional Development | Organizational Development |
|---|---|---|---|
| Focus: | Faculty members | Courses or curricula | Organization |
| Purpose: | Promote faculty growth; help faculty members acquire knowledge, skills, sensitivities, and techniques related to teaching and learning. | Improve student learning; prepare learning materials; redesign courses; make instruction systematic. | Create effective environment for teaching and learning; improve interpersonal relationships; enhance team functioning; create policies that support effective teaching and learning. |
| Intellectual base: | Clinical, developmental, and social psychology; psychiatry; socialization. | Education, instructional media and technology, learning theory, systems theory. | Organizational theory, organizational change; group processes. |
| Typical activities: | Seminars, workshops, teaching evaluation. | Projects to produce new learning materials or redesign courses; workshops on writing objectives, evaluating students. | Workshops for group leaders or team members, action research with work groups, task forces to revise organizational policies. |



Source: Gaff, Gerry G. *Toward Faculty Renewal.* San Francisco: Jossey Bass, Inc., 1975, p. 9. Reprinted by Permission.

Gaff points out that while the approaches outlined in Table 1 are conceptually distinct, one should not overestimate the extent of conceptual purity found in operational programs. Many variations in the application of the approaches depicted in Table 1 were found by Gaff in his research. This point is particularly appropriate in light of a recent report on 11 "faculty development centers" in southern universities (Crow, Milton, Moomaw, and O'Connell, 1976). The editors of this report found that these 11 centers had the same common purpose, i.e., "improving instructional effectiveness." However, they also found that the centers could be placed into three different general categories and described in the following fashion:

> Five of the 11 centers concentrated on working directly with faculty on *instructional development* by providing them information and opportunities for learning about new approaches, and individual consultation and evaluation. . .
> Four of the 11 centers provide *comprehensive instructional resources*. . .
> Two centers concentrate on *comprehensive faculty development* combining several aspects of the models described in Part I. . . (pp. 56-57).

While these categories are very similar to Gaff's, there is enough difference between them to suggest that we have not yet found a common set of concepts for categorizing faculty development programs or the subcomponents of such programs.

Bergquist and Phillips (1975b) have depicted three models that they describe as possible components of a faculty development program: instructional development, organizational development, and personal development. They suggest the following organization of activities in their comprehensive development model:

I. Instructional Development
  A. Evaluation
  B. Diagnosis
  C. Training: Traditional Methods
  D. Training: New Methods and Technologies
  E. Curricular Development

II. Organizational Development
  A. Team-Building
  B. Decision-Making
  C. Problem-Solving
  D. Managerial Development

III. Personal Development
  A. Discussions about Teaching
  B. Career and Life Planning
  C. Interpersonal Skills Training
  D. Personal Growth
  E. Therapeutic and Supportive Counseling. (p. 258)

One can see that this model differs from Gaff's conceptual framework. Instead of using the term faculty development, Bergquist and Phillips use "personal development" to describe development programs that focus on faculty growth. The Bergquist and Phillips model, however, is still in a state of development itself. In another discussion of this model, the authors used the same three major components but changed the subcomponents (1975a, p. 183).

There are many faculty development models being proposed today. Ralph (1973), for example, provided a new definition of faculty development in terms of: (1) the complexity of the professor's personality and thought, and (2) the professor's ability to help students develop themselves. He described and researched a scheme of five stages of faculty development. This is one of the new models for which there has been an attempt at research validation. Richardson (1975) has taken a somewhat different view of faculty development, maintaining that college administrators need to understand staff development as an integral part of the total process of organizational development. He has outlined a six-stage model that includes the following steps: (1) individual and small group learning experiences, (2) learning experiences applied on the job, (3) analysis and revision of administrative and governance structure, (4) establishing goals and priorities for the institution, (5) goals for individuals and goal attainment, and (6) evaluation and feedback. Richardson believes that the failure of colleges to understand and coordinate these six stages as components of a total process will lead to ineffective staff development as well as to a process of institutional decline. The understanding of the cycle of organizational development is seen in his model as a useful and perhaps first step in designing effective staff development projects. Finally, Toombs (1975) has stated that planning for faculty development should be programmatic and encompass a large framework of ideas, issues, and practices. He has proposed a three-dimensional model for faculty development that contains the following components: the professional, the curricular, and the institutional.

With the many models and new terms that are emerging in the area of faculty development, it is obvious that some standard, well defined terminology is needed. The term "faculty development" was selected for this publication (1) because of the need for some meaningful descriptive label to designate the movement under which all the instructional improvement activities in higher education may be subsumed, and (2) because it has also become one of the most often used labels in books, periodicals, and at professional meetings. Although Gaff (1975a) does not use the concept "faculty development"

as an all-encompassing one for instructional improvement activities, it is this writer's opinion that this term is best used in that fashion.

The major faculty development concepts employed in this paper will be those identified and defined by Gaff, with one exception. The subcomponent labeled "faculty development" in Gaff's model will be viewed here as a personal development dimension. The term "personal development," which is found in the Bergquist and Phillips conceptual scheme, appears to be the better term for describing professional development activities that focus on the faculty members themselves. Gaff's (1975a, 1975b) definitions of these terms are as follows:

> 1. Instructional Development programs focus on how the conditions of learning are designed, particularly as these relate to courses. Such programs strive to improve student learning by such means as preparing learning materials, redesigning courses, and making instruction systematic.
>
> 2. Faculty Development [Personal Development] programs focus on the faculty members themselves rather than on the courses they teach. Such programs strive to promote faculty growth by helping faculty members to acquire knowledge, skills, sensitivity, and techniques related to teaching and learning. Areas of emphasis would include knowledge about higher education, feedback about their own teaching behavior, teachers' affective development, and awareness of other disciplines and the community.
>
> 3. Organizational Development programs focus on the organization within which faculty, students, and administrators work. This approach strives to develop policies that support teaching improvement and to create an effective environment for teaching and learning by improving interpersonal relationships and enhancing team functioning. (Crow et al., 1976, p. 5)

Later in this paper it will be shown how these three concepts and definitions have been incorporated into faculty development programs at the university, four-year college, state, and regional levels.

*Faculty Evaluation*

Logan Wilson, former president of the University of Texas, wrote over 30 years ago in *The Academic Man*: "Indeed, it is no exaggeration to say that the most critical problem confronted in the social organization of any university is the proper evaluation of faculty services, and giving due recognition through the impartial assignment of status" (1942, p. 112). More recently, L. Richard Meeth, director of the *Change Magazine* National Project on Undergraduate Teaching, has stated that:

> Systematic, comprehensive, and valid evaluation of teaching has been an educational problem for many years. It continues to evade educators, although most administrators and legislators desire it as a meaningful way

> to determine rewards and sanctions for faculty, and most serious teachers seek it as a way of improving their performance and more closely relating what they do to what students learn. Most evaluation of teaching has resulted in unfair and inconclusive distinctions among teachers without establishing reliable or valid relationships between what teachers do and what students learn (1976, p. 3).

It would appear that the problem of faculty evaluation has not been solved since Wilson's statement. The problem, according to Meeth, persists because the academic community has not been able to reach consensus as to what constitutes effective teaching. Meeth feels that ". . . educators don't know what makes up effective teaching; they don't have a good research base, don't agree on the validity of what research they do have, don't believe the evidence that is presented in that research, and don't act on any of it in a broad systematic way throughout higher education" (p. 3).

Today, the same pressures on colleges and universities that have caused a reexamination of traditional concepts of faculty development are causing a reexamination of the concept of faculty evaluation. This reexamination of the faculty evaluation concept has lead to a broader definition of the term. Previous to the 1970's, faculty evaluation activities included informal student evaluations, reviews of the teacher's publication list, and informal, often haphazard, unstructured review by the college dean or department chairman of a faculty members work. These traditional approaches of faculty evaluation have been called into question and new conceptions of faculty evaluation are emerging, some of which have been described in the writings of Miller (1972, 1974) and Genova, Madoff, Chin and Thomas (1976). The conceptual models of these writers will be reviewed briefly because they represent some of the best current thinking to date on the subject.

Miller (1972) believes that any system of faculty evaluation in higher education should seriously consider beginning with the formulation of basic assumptions. The faculty evaluation model he recommends proceeds from the following six assumptions: (1) the trend toward accountability will continue, (2) merit evaluation is preferable to a seniority system, (3) overall evaluation of faculty is inevitable, (4) every evaluation system can be improved, (5) professional development should be available to every faculty member who is evaluated, and (6) faculty evaluation should be for both advancement decisions and faculty development (pp. 4-12).

Miller then discusses operational principles that move his basic assumptions closer to realization. These principles become the guide-

lines for developing his faculty appraisal procedures. His first principle is "individualized evaluation." He believes that procedures to measure faculty performance should be individualized in terms of providing more than the usual three or four evaluation categories (teaching, research, and public or professional service). He further believes, in relation to this principle, that the department chairman and the dean must play an active role in establishing and carrying through a systematic and comprehensive plan of evaluation. And finally, in this area he supports the notion of varying workloads and weighting systems for college faculty. His second principle states that colleges should seek a variety of sources of input in evaluating faculty. This principle comes from the belief that the total array of a faculty member's professional activities are too diverse and complex to be fairly evaluated by one input or source of information (1972, pp. 12-14).

Miller's third principle states that there must be effective management and utilization of evaluative data in every faculty evaluation system. In his comprehensive approach he recommends that (1) those using the evaluation criteria have some objectives or goals in mind, (2) the system be used positively, (3) the system be manageable in terms of time required for processing, (4) the system be economical in terms of time spent and results achieved, and (5) most systems of student evaluation should be computerized. Miller's final principle focuses on "strategies for implementation." He feels that there is no one strategy for faculty evaluation that works in all instances, or even in most, but he does offer some helpful guidelines. He recommends that (1) the president and chief academic officer of the college must support and be knowledgeable about the plan, (2) trial runs of the evaluation instrument(s) be conducted to reduce faculty anxiety, (3) faculty resistance points be anticipated and dealt with positively, (4) faculty forums or open hearings be held at a point when the evaluation document or policies are still open to modification, (5) ample time be provided for the overall process of implementation, (6) plans for the follow-up evaluation should be spelled out in the initial presentation of the procedure, and (7) good and adequate research should be evident on what is being proposed (1972, pp. 15-20). With respect to the point on timing, he states that "ample time" is an institutional matter and may vary from one term to two years.

From these assumptions and principles, Miller develops a model for the evaluation of teaching that contains a broader conceptual view of the role of the college teacher than we have had in the past. Previously, we have conceptualized the teacher's role in terms of re-

search, teaching, service, and professional activities. Miller points out that college teachers today are engaging in a much wider range of activities than in the past, and for this reason he feels that the following categories should be used in describing and evaluating college teaching: classroom teaching, advising, faculty service and relations, management (administration), performing and visual arts, professional services, publications, public service and research (1972, p. 21). He also believes that the prominence given any one of these categories by a faculty member is determined by two major forces: (1) the direction and nature of the faculty member's college, and (2) the talents and interests of the individual faculty member. In accordance with these views, Miller has proposed a faculty evaluation scheme that places its greatest emphasis on individualizing the professional workload.

Under Miller's (1972) system, the faculty member would enter into an annual performance contract with his or her department chairperson. Miller argues that such a contracting process would lead to the establishment of tasks and the selection of evaluation criteria that would reflect: (1) the nature of the institution, (2) the needs and direction of the department, and (3) the interests and abilities of the faculty member (p. 80). Miller then describes a variety of procedures that could be used to collect data in each of his nine evaluation categories. Finally, he shows how this data could be employed to calculate an overall performance rating for a faculty member under his system. Table 2 provides an example of how this rating would be calculated.

In this example, it can be seen that Professor A (Table 2), with the assistance of his or her chairperson, agreed to an allocation of time over the following categories: advising, teaching, faculty service, professional status, publications, and public service. The allocation of time became the weighting factor in determining Professor A's raw evaluation score for each of these categories. Raw evaluation scores for Professor A were calculated by multiplying the weighting factor for any given contractual category times the average evaluation or criterion rating score received in that category. Finally, Professor A's overall performance rating was calculated by adding all of his raw scores and dividing this figure, 568, by the total number of points possible in a 1-to-7 criteria-rating system, 700.

Some may argue that Miller's system will never succeed because it is too exact to have any general meaning, too mechanical to suit the art of teaching, or too demeaning to reduce professional performance to a percentage figure. The system does, however, provide

*Table 2. Determining Overall Performance Rating*

| Professor A | Percent of Total Effort | | Criterion Rating | | Raw Score |
|---|---|---|---|---|---|
| 1. Advising | 10 | X | 6.3 | = | 63 |
| 2. Teaching | 50 | X | 6.1 | = | 305 |
| 3. Faculty Service | 10 | X | 5.9 | = | 59 |
| 4. Administration | — | | | | |
| 5. The Arts | — | | | | |
| 6. Professional Status | 10 | X | 4.9 | = | 49 |
| 7. Publications | 10 | X | 4.3 | = | 43 |
| 8. Public Service | 10 | X | 4.9 | = | 49 |
| 9. Research | — | | | | |
| | 100% | | | | 568 |
| | | 568÷700=.81 | | | |

Source: Miller, Richard I. *Evaluating Faculty Performance*. San Francisco: Jossey Bass Publishers, 1972, p. 81. Reprinted by Permission.

for flexibility and individualization, two characteristics that are missing from most faculty evaluation systems today. The system also offers the possibility of more objective as opposed to subjective evaluation of faculty. This increased objectivity should be welcomed by faculty at a time when recent research continues to support the fact that faculty evaluation is often a very subjective and imprecise process (McKeachie and Linn 1975, p. 21). In the final analysis, it would appear that Miller has developed a very good evaluation model both for individual professional development decisions and for salary, promotion and tenure decisions.

Genova et al. (1976) offer another conceptual model for the evaluation of college teaching. Their conceptual scheme is very similar to Miller's, with many of the same components. This scheme was developed as the result of a study conducted by Training, Development, and Research (TDR) Associates, Inc. for the Massachusetts Advisory Council on Education (MACE) between September 1974 and August 1975. In this investigation (1) a literature search of faculty evaluation on a national scale was conducted, (2) telephone interviews probed for current evaluation research and practice, (3) evaluation materials

from education, business, industry and government were reviewed, (4) certain research findings and personnel evaluation practices were selected as exemplary, and (5) field visits were made to over 30 colleges and universities in Massachusetts to identify current practices. While this was not a systematic survey research project, it provided some new and very useful insights into faculty evaluation. For example, when the investigators asked students, faculty, and administrators in Massachusetts whom they found to be the principal beneficiaries of present faculty evaluation programs, the typical responses were: (1) Students: faculty benefit most, (2) Faculty: administrators benefiit most, and (3) Administrators: faculty benefits most (p. 3). None of the major constituencies named itself as much as the others, and none saw students as the principal beneficiaries.

The faculty evaluation model then proposed by this group has as its basic goal the development of evaluation procedures that allow each constituency to become a real and convinced beneficiary of the system. The operating principles of their "mutual benefit evaluation" model (the authors also outline a model for the evaluation of college administrators) are as follows:

> 1. Multipurpose—Given the wide variety of institutional purposes and demands, faculty and administrator evaluation programs should serve a variety of purposes for those evaluated, their constituencies, and the institution as a whole.
>
> 2. Multifaceted—In the interest of fairness and completeness, faculty and administrators should be evaluated on a broad range of their activities and responsibilities, which are weighted regarding their importance.
>
> 3. Multisource—Those affected by and informed about the actions of particular faculty and administrators should participate in the evaluation of those faculty and administrators.
>
> 4. Multimethod—Because of the range of appropriate faculty and administrative acts and styles, different methods of assessment must be combined.
>
> 5. Institutional Context-Related—The evaluation of faculty and administrators must be related to the particular purposes, needs and stage of development of the institution (Genova et al., 1976, pp. 4-5).

The major emphasis of this model is on the careful definition of instructor goals and the relative importance of those goals to a particular college.

In addition to describing a comprehensive faculty evaluation program, Genova et al. (1976) have included in their book, *Mutual Benefit Evaluation of Faculty and Administrators in Higher Education,* some samples of student, colleague, and administrator rating scales. These scales should be useful to colleges and universities who

are seeking instruments that have been researched in terms of their reliability and validity qualities. The authors have also designed a unique "Faculty Evaluation Program Inventory." This inventory was designed to assist colleges in improving their existing faculty evaluation programs. The inventory lists and describes essential elements of a comprehensive evaluation program. Genova et al. recommend that colleges use their inventory as a device for identifying the strengths and weaknesses of their present faculty evaluation system (pp. 201-214).

The Miller (1972, 1974) and Genova et al. (1976) faculty evaluation systems are but two of many systems that have been recommended in recent years. Glasman (1976), for example, has described a conceptual framework that contains three domains for an administrative perspective on faculty evaluation. His first domain deals with faculty need satisfaction; the second centers on the instructor's work environment; and the third relates to the appropriateness of evaluation instruments. While this framework is not a taxonomic effort or a predictive model, it does provide a terminology that could serve academic administrators, faculty, researchers and others. It should be of particular value to individuals who are looking for new areas for faculty evaluation research or for new ways to conceptualize the variables that affect the acceptance of a faculty evaluation system.

Smock and Crooks (1973) have developed an evaluation scheme that is based on the assumption that ". . . evaluative data being collected can and should vary according to the intended function of the evaluation and the people doing the evaluating" (p. 579). They believes there are three major types, or levels, of valuation. The first (Level I) is general, summative evaluation. The second (Level II) is evaluation aimed at identifying success or failure in teaching. The third (Level III) is detailed, course-specific evaluation aimed at providing diagnostic, instructional problem information. In their model, evaluation data would be used by four audiences: instructors, students, departmental administrators, and college or campus administrators. This model attempts to show how faculty evaluation can be tied to faculty development programs, particularly in the area of student evaluations.

Recently Dressel (1976) has presented a framework for the evaluation of college faculty. One of the best definitions of faculty evaluation can be found in Dressel's second general principle for directing faculty evaluation. That principle states:

> The evaluation system should be viewed as one of the major aspects of the educational program, and because it is a model, students should be in-

> volved whenever possible. Evaluation is both a process and a result—a means of determining goals, of appraising the processes or paths for reaching them, and of assessing the extent to which they have been met. . . (p. 374).

Faculty evaluation, then, for purposes of this paper, will be defined in Dressel's terms as both the process and the product of ascertaining the value of a faculty member's contribution to the teaching-learning process in his institution.

*Possible Commonalities Between the Concepts of Faculty Development and Evaluation*

It is clear that there are commonalities to be found between both the concepts and the approaches to faculty development and evaluation. The intent of this section will be to briefly identify some of these. These commonalities will suggest some ways that faculty development and evaluation programs can be linked to more effectively achieve the most important major goal that they both support, i.e., the improvement of student learning.

1. Most faculty development and evaluation plans being recommended today *take into consideration the personal, instructional, and organizational dimensions* of the teaching-learning process in establishing on-going and viable programs. While it is argued that the relative weight given to each dimension is likely to vary from college to college and person to person, some element of each lies in most of the recommended models.

2. Both schools of thought feel that their *programs should be individualized* to meet the needs of each faculty member who is being developed or evaluated. Faculty development experts believe that each faculty member has unique skills and abilities, strengths and weaknesses. This, they argue, should dictate a more personalized approach to professional development than we have had in the past. The experts on faculty evaluation believe that evaluation contracts should be personalized to allow for the varying skills, abilities, and interests of the faculty member.

3. Both schools of thought believe that the *contracting approach* is one of the best procedures for achieving a qualitative change in a faculty member's performance. In relation to this point, it is interesting that in many of the faculty development and evaluation models the *department chairman is the party with whom the faculty member contracts.*

4. Finally, it is clear that both faculty development and faculty evaluation programs are best evaluated in terms of their impact on

student learning. As we shall see shortly, both programs have neglected to consider the value of their activities in terms of this outcome. They both share the *common weakness of having ineffective evaluation systems.*

*Summary*

It is clear that a number of very good conceptual schemes have been developed in recent years for use in faculty development and evaluation programs. The extent to which one or more of these models will be adopted by the academic community on a large scale remains to be seen. In the next chapter, research in the areas of faculty development and evaluation will be reviewed. This next chapter and the ones following it show the extent to which the conceptual schemes described here have been incorporated into actual programs.

## Research in Faculty Development and Evaluation

This section will review some of the current research on the status of faculty development and evaluation programs in higher education. Such a review should indicate the extent to which the previously described conceptual models have been put into practice. A secondary purpose of this section is to review briefly some current research on specific aspects of faculty development and evaluation. No attempt will be made to present a comprehensive review of all the current research on faculty development and evaluation. Some excellent research and writings on the topics of faculty development and evaluation at the community college level can be found in the works of Wallace (1975a, 1975b); ERIC Clearinghouse for Junior Colleges (1975); Scott (1974); Deegan (1974); Yarrington (1974); Cohen (1973); and O'Banion (1972). Similarly, research and writings at the four-year college and university levels on these topics can be studied in the publications of Kulik and McKeachie (1975); Trent and Cohen (1973); Pace (1973); The Group for Human Development (1973); Miller (1972, 1974); Cook and Neville (1971); McKeachie and Lin (1975); and Eble (1970, 1971, 1972).

*Status of Faculty Development Programs*

Only two or three major studies have been conducted to date regarding the characteristics of faculty development programs in the United States. At this time we know very little about current faculty development efforts in our colleges and universities. The best study to date on this subject is the questionnaire survey conducted by Gaff (1975a).

Gaff sent a survey questionnaire to a total of 69 directors of formal organizations concerned with the improvement of instruction. The questionnaires were distributed during the summer of 1974, and 55 of the 60 returned met Gaff's criteria for inclusion in his initial data analysis. In terms of the organization of instructional-improvement programs, Gaff found that 78 percent of the program directors reported to a central academic officer, 64 percent of the units had a faculty advisory committee, 78 percent of the directors felt that the discouragement of close ties with the education department would help their program avoid being labeled with "educational" stereotypes, 47 percent of the directors indicated that the media center was a valuable part of their program, 76 percent of the professional staff

members in the programs came from the disciplines of education, educational psychology, and psychology, and the median size of the units surveyed was six, with a median of two professional staff included in that figure (1975c, pp. 1-4). As a result of these findings, Gaff offered the following suggestions to institutions that want to establish such programs: (1) create a separate program, (2) place the program directly under the chief academic officer of the institution, (3) form a faculty advisory committee to help set policy for the faculty development program, (4) avoid placing the program in the school of education, and (5) put a faculty member who is regarded as an effective teacher in charge of the program (1975a, p. 119).

In relation to the financing of in-service programs, Gaff discovered in his study that the median total 1973-74 budget figure for the faculty development centers studied was between $80-$100,000, and that 78 percent of the programs were operating on 75 to 100 percent "hard" money as opposed to external funds obtained from grants, contracts, etc. (1975c, p. 4). These findings along with other material reviewed in the investigation led Gaff to propose the following guidelines for financing in-service programs: (1) both internal and external funding is needed if large numbers of faculty are to become involved in development programs, and (2) the "bulk" of the funding for such programs should come from "hard" institutional sources (1975a, p. 119).

Next Gaff examined the politics of teaching improvement centers. He noted that the basic political position of an instructional-improvement center is a "new organization" seeking to bring about changes or reforms within an established institution. Also, he pointed out that such centers are often separate from the power structure of the institution that ultimately determines faculty rewards. For this reason he felt that these new centers must find ways to gain faculty support. He suggested that such centers consider the following specific strategies to gain this support: ". . . 1. Develop an outreach program . . . 2. Start small and prove yourself . . . 3. Keep a low profile . . . 4. Start where the faculty are . . . 5. Be eclectic in approach . . . 6. Start with a small group of volunteers and let them 'sell' the program to their colleagues . . . 7. Go with winners at the outset . . . 8. Administer a small instructional-improvement fund" (1975a, pp. 123-125).

Gaff concludes his researeh report by noting that the faculty development movement is still very young. He believes that the gap between current status and the future potential of this movement

is still very great. Table 5 provides a summary of where he thinks we are and where he hopes we will be in the future.

*Table 3. Current Status and Potential Future of Instructional Improvement*

| Current Status | Potential Future |
|---|---|
| Few institutions have programs | Most institutions have programs |
| Few faculty are involved | All or most faculty are involved |
| Participants are primarily volunteers | Participants feel some external pressure to participate |
| Faculty participation is limited and irregular | Faculty participation is regular and continuous |
| Participation is an "overload" | Participation is provided for in normal workload |
| In-service development is a peripheral activity | In-service development is a central activity |
| Budgets and resources are modest | Budgets and resources are adequate |
| "Soft" grant monies are a major source of funds | "Hard" institutional monies are the major source of funds |
| Few institutional policies support teaching effectiveness or professional development | Many policies support teaching effectiveness and professional development |
| Few permanent instructional improvement centers conduct professional development | Instructional-improvement centers providing professional development are permanent |
| Few staff members have training and experience in consulting with colleagues | Many staff members have training and experience in consulting with colleagues |
| Little evidence of effectiveness of programs exists | Convincing evidence of effectiveness exists |
| Impact is limited to selected institutions and faculty members | Impact is widespread among institutions and faculty |
| Modest reforms aimed at better teaching are underway | Extensive improvements in instruction and organizational operations are made |

Source: Gaff, Gerry G. *Toward Faculty Renewal*. San Francisco: Jossey-Bass, Inc., 1975, p. 176. Reprinted by Permission.

A recent publication by the Southern Regional Education Board's (SREB) Undergraduate Education Reform Project, entitled *Faculty Development Centers in Southern Universities* (1976), describes the status of faculty development centers in 11 four-year southern universities. This is an excellent description of the organization, staffing, programming, funding, and evaluation patterns of the following programs: Teaching-Learning Center, University of Alabama; Project on Teaching and Learning in University College, University of Alabama at Birmingham; Office of Instructional Resources, University of Florida; Office of Instructional Resources, University of Kentucky; Center for Instructional Development, Appalachian State University; Center for Instructional Service and Research, Memphis State University; Learning Research Center, University of Tennessee, Knoxville; Faculty Development Resource Center, University of Texas at Arlington; Center for Teaching Effectiveness, University of Texas at Austin; Center for Improving Teaching Effectiveness, Virginia Commonwealth University; and Learning Resources Center, Virginia Polytechnic Institute and State University. Written segments taken from the summary chapter in this report give us yet another view of the status of faculty development centers, this time in a particular type of institution and in a particular region of our country.

> . . . Eight of the eleven faculty development centers described in this publication have begun operations since 1973 and ten since 1971. As the center descriptions show, the overall and primary concern of all of them lies in bringing about improvements in the teaching-learning process at their respective institutions. None of the centers is organized, staffed, or funded exactly like any other, however, and approaches and activities to achieve the overall goal differ in various locations. From this, it seems appropriate to generalize that while institutions share the common need to improve institutional effectiveness, there is no single prescription for achieving this goal that *all* institutions can adopt. . . .
>
> It appears that the primary impetus for the creation of campus faculty development centers comes from administrators. In two of the eleven cases, the original impetus came from the faculty senate. In three cases, instructional improvement programs resulted from consolidation of all instructional support services such as media, graphics, and the like, into central operations. In almost all of the cases, administrators took the initiative, but appointed or asked for a faculty committee to study the issue and to make recommendations. . . .
>
> Faculty Development Centers in the SREB region vary greatly in size of staff and budget. The largest center in the region has a staff of six full-time professionals, several part-time faculty, more than a dozen students, and an annual budget (including staff salaries) in excess of $900,000. . . . The smallest center has one part-time professional and an annual program budget under $10,000. But accomplishments in stimulating instructional improvement are not necessarily in proportion to staff and budget size. . . .

> The person who directs the center is the most significant influencing factor on the nature of center activities, the directions these activities take, and the internal influence of the center. . . . No particular educational background appears to be more advantageous than another for a center director. Five of the eleven center directors in this study come from the fields of psychology and education. Two are from the natural sciences or engineering, one from the field of media, and one is a professor of Victorian poetry. . . .
>
> Organizationally, each of the centers in this report has a director who has overall responsibility for the center's operation. Seven of the eleven centers have a faculty advisory committee representative of the entire institution to assist the center director in planning activities, to provide support, and to serve as a communication link for the center throughout the institution. . . . In the four cases where official faculty advisory groups do not exist, faculty are used extensively by the directors in assisting with center activities.
>
> For the most part, campus centers for faculty development in the SREB region are separate entities within the institutions, usually directly under a vice president, most often the vice president for academic affairs. In two cases, the center is part of an "umbrella" organizational scheme, called "learning resources," which may include all learning-assisting activities at the institution, including the libraries. Most center directors feel that autonomy is an important part of their success. . . . Center directors seem particularly adamant on the point that they not be a part of the formal evaluation process for awarding faculty tenure, promotions and salary increases. Official evaluation and activities to stimulate and assist with change or improvement do not seem to mix well.
>
> In conclusion, what can be said about the effectiveness and future of campus faculty development centers in Southern universities? As indicated in the cases, formal evaluation activities have not taken place to any notable extent. Center directors are, for the most part, enthusiastic and positive about their activities and their success. If growing budgets and increased staff and facilities are a sign of success, then campus centers are succeeding. (Crow et al., 1976, pp. 56-58)

*Summary*—Gaff's (1975) research on teaching improvement centers has given us some excellent information on the characteristics of these new centers that are growing at a very rapid rate. Also, the guidelines and policies that he has suggested should be helpful to colleges planning such centers. The study by Crow et al. (1976) provides still more information on the organization, staffing and funding patterns, programs, and evaluation methods being used by teaching improvement or professional development centers at the university level. The fact remains, however, that a great deal more research is needed before we will be able to accurately describe the nature of faculty development programs in our country.

### *Status of Faculty Evaluation Programs*

While there has been more comprehensive research on the status

of faculty evaluation programs and policies in our country than on faculty development programs and policies, a complete picture of current evaluation practice is still missing. The best current research in this area is found in the studies of Boyd and Schietinger (1976) and Seldin (1975). Boyd and Schietinger conducted a regional survey of faculty evaluation practices for the Southern Regional Education Board (SREB) in 1975. The general purpose of the SREB survey of faculty evaluation procedures was to determine the nature and extent of faculty evaluation programs in the South. All colleges and universities (843 institutions) in the 14-state SREB area were given an opportunity to participate in this investigation. Each president was mailed a copy of a questionnaire designed to provide data on existing policies, practices, and criteria for faculty evaluation. Usable responses were received for a total of 536 institutions. This represented a response ranging from 80.5 percent of the doctoral level institutions to 58.5 percent from the two-year colleges (Boyd and Schietinger 1976, p. 5).

Most of the questionnaires were filled out in the Boyd and Schietinger (1976) study by academic vice presidents, academic deans, or their equivalents—individuals who were in favorable positions to answer for institutions as a whole. One of the major findings in this study was that faculty evaluation programs at the responding institutions were generally conducted both ". . . (a) to provide information for administrative decisions pertaining to staff advancement, and (b) for faculty development purposes" (p. 45). However, it was found that emphasis on advancement information predominated at doctoral level institutions, while emphasis on faculty development was more frequently paramount at two-year colleges. For example, 62 percent of the doctoral institutions as compared to only 18 percent of the two-year colleges assigned a first ranking to the use of evaluation information for decisions on advancement (p. 6). These differences seem to suggest that administrators of large, comprehensive universities tend to be less concerned about needing to improve the effectiveness of their teaching personnel and more concerned with problems of personnel management than administrators in smaller colleges. It is unlikely, however, that these findings reflect any objective differences in the professional development needs of the various institutions' teaching faculties. One would expect less emphasis on faculty advancement in community colleges because in many such institutions there is an absence of faculty ranking systems.

The SREB survey also collected data on the use of 10 possible sources of evaluation information for three specific purposes (de-

cisions on salary increases; decisions on reappointment, promotion and tenure; and faculty development), as well as for overall use. It was found in the 536 responding institutions that the department chairman, the academic dean or vice president, and students had the major responsibility for overall evaluation as well as evaluation for the purpose of faculty development. The results of this part of the study can be seen in Table 4. It is interesting to see in Table 4 that student evaluations in the institutions surveyed were used more for faculty improvement and overall use than they were for salary and advancement decisions. Finally, self-evaluation in this study was found unexpectedly to be an important source of information for faculty development and for overall evaluation (see Table 4).

Boyd and Schietinger's (1976) study found that those mainly responsible for overall evaluation in all types of institutions were the department chairman and the chief academic officer (academic dean, academic vice president, academic vice chancellor, or equivalent). These same two positions were also found to have primary responsibility for faculty development, although the frequency of principal responsibility varied considerably from doctoral institutions to two-year institutions (pp. 12-15). In terms of the availability of evaluation results to the faculty member, 94 percent of the respondents in this study indicated that the results of evaluation were made available to the faculty member (pp. 14-16).

Respondents in this investigation were also asked to indicate the relative importance of nine factors that might be considered in faculty evaluation for advancement purposes, i.e., for salary increases, promotion, and tenure. Instructional activity was reported as the most important consideration in evaluation for advancement by the respondents in all the institutions surveyed. Student advising ranked second in all types of colleges except doctoral institutions where, not surprisingly, research and publications were ranked second and third, respectively. One unexpected finding of this part of the study was that "public service" ranked lowest or next to lowest for all categories of colleges considered. Further analysis, however, did show that the importance of public service in the evaluation of faculty increased considerably from two-year colleges to large public universities (p. 16).

The Boyd and Schietinger study (1976) provides a good description of the status of faculty evaluation in one region of the country in terms of the (1) principal reasons for faculty evaluation, (2) sources of information for evaluation, (3) individuals and groups responsible for evaluation, (4) availability of information to the person evalu-

*Table 4. Sources and Selected Uses of Information for Faculty Evaluation, All Reporting Institutions*

| Source of Information | Overall Use | Percentage of Respondents Reporting Utilization For Decisions on Salary Increases | For Decisions on Promotion and Tenure | For Faculty Improvement |
|---|---|---|---|---|
| Academic Dean or V.P. | 90% | 70% | 81% | 81% |
| Alumni | 18 | 1 | 4 | 14 |
| Colleagues | 45 | 19 | 29 | 35 |
| Department Chairman | 90 | 70 | 82 | 83 |
| Faculty Committee | 39 | 14 | 33 | 23 |
| Joint Committee (Faculty/Student) | 10 | 2 | 4 | 7 |
| Peers (other institutions) | 9 | 1 | 6 | 4 |
| President or Provost | 47 | 40 | 44 | 36 |
| Self-Evaluation | 56 | 25 | 33 | 51 |
| Students | 88 | 30 | 45 | 79 |

Source: Boyd, James E. and Schietinger, E. F. *Faculty Evaluation Procedures in Southern Colleges and Universities.* Atlanta: Southern Regional Education Board, 1976. Reprinted by permission.

ated, (5) relative importance of various factors (such as teaching, advising, research, publications, and public service) in faculty evaluation, (6) descriptive material on methods and systems of evaluation, and (7) importance of public service as a factor in faculty evaluation.

In 1966 Astin and Lee undertook an American Council on Education (ACE)-sponsored study on the policies and practices employed by colleges to evaluate faculty teaching performance for the purpose of making faculty personnel decisions. The responses of 1,110 academic deans from colleges and universities differing in size, selectivity, and geographic location, led the investigators to conclude that many institutions "suffer from an inability to evaluate classroom effectiveness" (p. 307). As a follow-up to this study, Seldin (1975) queried every academic dean of all accredited private liberal arts colleges (which were not part of a university) on how they were rating both overall faculty and teaching performance. He duplicated the 1966 ACE questionnaire and sent it to 491 academic deans of whom 410 (83.5 percent) responded in 1973. Some of the findings of this study are reported here because they give a fairly complete picture of how academic deans perceive faculty evaluation in private liberal arts colleges today. This research also provides a good description of how the evaluation of teaching has changed since 1966 in these colleges.

Part One of Seldin's questionnaire replicated selected segments of the Astin and Lee (1966) study, which researched the techniques used to evaluate the teaching performance of undergraduate teaching faculty. In his analysis of the levels of importance of criteria used in the overall evaluation of faculty performance, he found that "classroom teaching" was listed as a "major factor" by 99.3 percent of responding academic deans. Other criteria rated as "major factors" by approximately 50 percent or more of the academic deans included: (1) "student advising," (2) "length of service in rank," (3) "personal attributes," and (4) "committee work" (p. 71). This is consistent with the SREB (1975) study which found that the faculty members' instructional activities were the most important criteria considered in faculty evaluation for advancement. Next Seldin looked at the types of information considered in evaluating the teaching performance of faculty members. Rated as "always used" by 50 percent or more of the academic deans were (1) "chairman evaluation," and (2) "dean evaluation." Other types of information rated as "always" or "usually" used in evaluating teaching performance by 50 percent or more of the academic deans included: (1) "colleagues' opinions," (2) "in-

formal student opinion," (3) "committee evaluation," (4) "scholarly research and publication," and (5) "systematic student ratings." Approximately 60 percent of the academic deans indicated that their institutions "always" or "usually" used "systematic student ratings" (pp. 71-72). This finding was somewhat lower than that reported in the SREB study. In that study student evaluations of faculty performance were found to be used by 88 percent of the responding institutions (Boyd and Schietinger 1976, p. 47).

One of the more interesting aspects of Seldin's research was the comparison he made between data collected in the Astin and Lee (1966) study and data gathered in his study. A comparison of the

*Table 5. t-tests of Differences in Percentages of Response to Criteria Identified by Academic Deans as "Major Factors" in Evaluating Overall Faculty Performance as Reported in the Astin and Lee (1966) Study and the Current Study (1973).*

| Factors | 1966 (N=484) Percentage | 1973 (N=410) Percentage | t* |
|---|---|---|---|
| 1. Classroom teaching | 97.6 | 99.3 | 2.36 |
| 2. Supervision of graduate study | 17.8 | 1.9 | 8.57 |
| 3. Supervision of honors program | 14.3 | 2.9 | 6.46 |
| 4. Research | 31.7 | 22.2 | 3.24 |
| 5. Publication | 24.5 | 17.1 | 2.75 |
| 6. Public service | 16.1 | 12.9 | 1.37 |
| 7. Consultation (government, business) | 2.4 | 0.7 | 2.36 |
| 8. Activity in professional societies | 23.9 | 15.8 | 3.08 |
| 9. Student advising | 46.8 | 68.8 | 6.85 |
| 10. Campus committee work | 32.6 | 49.5 | 5.21 |
| 11. Length of service in rank | 59.9 | 54.4 | 1.66 |
| 12. Competing job offers | 9.8 | 3.2 | 4.19 |
| 13. Personal attributes | 61.3 | 55.2 | 2.59 |

Source: Seldin, Peter. *How Colleges Evaluate Professors.* New York: Blythe-Pennington, Ltd., 1975. Reprinted by Permission.

*t.05=1.96
t.01=2.57

responses by academic deans in the two studies regarding their views on "major factors" used in evaluating overall faculty performance is shown in Table 5. In Table 5 there are statistically significant differences between mean percentage responses to nine of 13 criteria used to evaluate the overall performance of faculty members in these two studies. It may be that a new rating method for teacher performance is emerging in private liberal arts colleges. This data suggests that there is a decline in attention paid to research, publication, public service, and activity in professional societies—the traditional criteria of academic success.

In terms of the types of information used for faculty evaluation, Seldin found a number of statistically significant differences between the extent to which information was being employed today in comparison to its use in 1966. The direction of these differences were as follows: (1) "systematic student ratings" increased, (2) "informal student opinions" decreased, (3) "classroom visits" decreased, (4) "colleagues' opinions" decreased, (5) "scholarly research and publication" decreased, (6) "student examination performance" decreased, (7) "course syllabi and examinations" decreased, (8) "long term follow-up of students" decreased, (9) "alumni opinions" decreased, (10) "committee evaluations" increased, and (11) "graduate distributions" decreased (p. 73). Clearly the deans today are placing more emphasis in their colleges on systematic student ratings and committee evaluations than they did in 1966. While fewer than one school in four reported use of rating forms in the 1966 study (23.9 percent), more than half of the colleges in 1973 (54.9 percent) reported use of rating forms in evaluating teaching performance (p. 74). Thus, the new evaluation system that is emerging in private liberal arts colleges contains new weighting on performance criteria and also on the sources of evaluative information.

Part Two of Seldin's questionnaire was developed to provide additional information related to policies and practices used to evaluate teaching performance. In an analysis of the rank ordering of four components used by academic deans in the evaluation of faculty, Seldin found the following: (1) approximately 45 percent of the academic deans assigned greatest importance to the "chairman" evaluation, and (2) "student," "faculty," and "self-evaluations" were assigned lower importance than chairman evaluations, with 23.7 percent, 21.5 percent, and 10.7 percent, being the respective percentages. Because of this finding and the finding of the SREB study, it would appear that the department chairman is the critical element in an institution's faculty evaluation and development program. Another

finding was that 77 percent of the deans reported substantial satisfaction with the policies and practices used to evaluate faculty for purposes of contract renewal and for promotion in rank (p. 25). A similar finding was made in the Boyd and Schietinger (1976) study. They reported that 80 percent of their respondents gave favorable ratings to the effectiveness of the average evaluation program (p. 47). One problem with both of these studies is that they did not survey college faculty members to determine their views on faculty evaluation policies and procedures. Research is needed to see if faculty members are as satisfied as administrators appear to be with current evaluation practices.

*Research on Student Evaluations of Faculty*

By far the greatest amount of research in the areas of faculty evaluation has been on student ratings of college faculty. There have been literally hundreds of studies conducted in this area. It would be impossible to review all of these studies here. Instead, an attempt will be made to summarize some of the more important research findings in relationship to the reliability and validity of student rating systems, as well as some of the findings on the correlates of student ratings and the affects student ratings have had on teacher behavior. Research findings in these three areas should be useful to institutions considering the establishment or revision of their faculty evaluation or development programs.

Doyle (1975) in his book, *Student Evaluation of Instruction*, presented one of the best reviews of research on student evaluation that we have in higher education today. On the reliability of student ratings, he noted that there are primarily two standard methods used to determine the reliability of a student rating instrument. The standard methods came under the headings of "internal consistency or homogeneity" and retest reliability or stability." He noted that a number of published studies have included measures of internal consistency, and that most professionally constructed student rating questionnaires employed these measures somewhere in their development. In the many studies he reviewed, Doyle found that the internal consistency correlations reported in these studies compare quite favorably with the reliability of well-constructed, commercially-published achievement tests. He concluded that student ratings can be very reliable in the sense of internal consistency (p. 37). After reviewing studies on the retest reliability of student ratings, he stated that:

> As far as reliability is concerned then, the conclusion is that student ratings can routinely be used for purposes of instructional improvement, but that if they are to be used for personnel decisions, steps will have to be taken to improve their reliability over that of ratings gathered by the typical instrument constructed without attention to data quality. Moreover, demonstrations of the reliability of a particular instrument in a particular setting perhaps ought to be required . . . (p. 43).

Reliability, then, does not appear to be a problem as long as colleges are willing to subject their student rating systems to reliability research.

The question arises, "How valid are student ratings?" One of the major problems involved in establishing the validity of student rating instruments has been obtaining agreement on appropriate validity criterion measures. A number of researchers (McGuigan 1974; McKeachie 1972; Cook and Neville 1971) agree that student growth, particularly in academic achievement, is the appropriate criterion of teaching effectiveness. There appears to be a lack of agreement, however, on what constitutes the best way to measure this achievement. For example, most of the studies cited by Costin, Greenough, and Menges (1971) use student grades as the criterion measure. Others use an achievement test or final exam at the end of the course. Relatively few studies have used actual student change data (e.g., pre versus post student achievement on a common examination) as a criterion (Cohen, Trent and Rose 1973).

There are a number of reasons why few student change studies have been done. One of the most significant is the problem of working with gain scores (Cronbach and Furby 1970). In spite of the measurement problems involved, however, it seems difficult to assert student growth as a validity criterion and not attempt to gather change data as evidence that growth has actually occurred.

In general, very mixed results have been obtained in those studies where student achievement change data have been used as a criterion measure. McKeachie, Lin, and Mann (1971, p. 436) summarize the situation by saying, "Previous data on validity in terms of the criterion of student change satisfy neither the proponents nor the opponents of student evaluation of teaching." While some studies (e.g., Frey, Lenard, and Beatty 1975; Gessner 1973) have found significant positive correlations between student ratings and student achievement gains, other studies (e.g., Turner and Thompson 1974; Rodin and Rodin 1972) have found significant negative correlations. The issue would appear to be far from settled.

The lack of agreement among research studies examining relation-

ships between student ratings and student achievement can be explained in a number of ways (e.g., in appropriateness of sample size, design, procedures, and analysis). One definite issue is the type of student rating instrument used. Some researchers (e.g., Doyle 1975, p. 82) recommend one overall instructor rating. Some use global or high-inference rating scales like the Purdue Rating Scale for Instruction (Remmers and Elliott 1927) and the SIRS developed at Michigan State University (Davis 1969). Others use relatively low-inference scales, with a greater number of items like the Student Evaluation of College Teaching Behaviors (Greenwood et al. 1973) developed at the University of Florida. Some instruments do not focus on course and instructor but on such things as student perceptions of their own growth in a course. Hogan and Hartley (1972) found that one such instrument measured different aspects of instructor effectiveness than did a high-inference, more traditional type of rating scale. In short, different aspects of instructor effectiveness may relate differently to different aspects of student achievement.

Recently a study was conducted at the University of Florida (Greenwood, Hazelton, Smith, and Ware 1976) to examine relationships between student ratings of instruction using a variety of rating instruments and post student-achievement gains. This study, while using a variety of student rating forms, did not find significant relationships between student ratings and student achievement gains. The result of this study suggest that if student achievement (at least in calculus and analytic geometry)" is an important criterion, then the use of student ratings alone to measure college teaching effectiveness is a questionable practice. On the other hand, this does not necessarily mean that students should not rate their instructors. Student ratings constitute one kind of input and can be valuable for certain types of faculty evaluation and for faculty development projects. However, they do not appear to measure the same domain as achievement tests. The assumption that the instructor that gets high student ratings is producing student achievement greater than the instructor that gets low ratings is a shaky one.

Based on the studies reviewed in this paper, it would appear that the validity of student ratings, at least in terms of student outcomes, has yet to be established. More research is definitely needed. However, until the validity of student ratings has been established in these terms, it would seem appropriate for colleges to seek other methods for evaluating the teaching effectiveness of their faculties.

A discussion of the research on student ratings would not be complete without a description of the correlates of student ratings. Kulik

(1974) has provided us with an excellent summary on this subject.

> I. Student variables: The student's general disposition toward instructors and instruction is the most important influence on within-class differences in ratings. Sex, age, grades, and major are of trivial importance.
>
> II. Teaching conditions: Variables which influence class ratings are class size, elected vs. required status of course, and discipline or department of course. While subject matter differences in class ratings within departments have not been demonstrated, this is a likely further source of variation in class ratings, e.g., the teacher of the modern novel may enjoy an advantage over the medievalist.
>
> III. Teacher characteristics: There is probably a weak, positive correlation between experience or academic rank and student ratings, although the size and direction of this relationship may differ somewhat at different types of schools. Research productivity of faculty members shows a similar weak, positive relationship to student ratings. Also, highly-rated instructors strike students (as well as peers) as generally cultured and sophisticated and especially as being articulate as classroom lecturers.
>
> IV. Interaction effects: Morsh and Wilder (1954) conclude that if the instructor teaches for the bright students, he will be approved by them and there will be a positive correlation between ratings and grades; if he teaches for the weaker students, he will be disapproved by the bright students and a negative coefficient will be obtained. There is some evidence that college students with different personality traits respond differently to highly structured and less structured teaching styles. (p. 2)

It is clear from this summary of research findings over many years that the conditions under which a faculty member teaches and his or her personal qualities make a difference in the ratings given by students. Research has also shown that there is some consistency in results of studies relating teacher characteristics to student ratings. It can be said that interaction effects play an important part in the strength of student ratings.

Finally, the most important studies in the area of student evaluations in recent years have probably been the ones that have explored the relationship between student ratings and changes in faculty member behavior. These studies are important because if it can be demonstrated that feedback from students modifies college teaching practices, then our present student rating methods would seem justified. On the other hand, if student ratings lead to no significant improvement, then other methods of changing teacher behavior should be employed.

One of the first persons to examine the relationship between student feedback and faculty behavior was Centra (1972b). He undertook a study during the 1971-72 academic year at five different types of colleges. In his study college teachers were asked to administer a

student rating form in one of their classes. The teachers were then randomly assigned to one of three groups.

> 1. *The feedback group.* Teachers in this group administered a student rating form at midsemester and received a summary of the results within a week along with some comparison data to aid in interpretation. In research terms this is the "treatment" group, with the treatment in this instance being essentially what is done at most colleges that use student ratings for instructional improvement, the results being seen only by the instructor.
>
> 2. *The no-feedback group.* This group used the rating form at midsemester but did not receive a summary of results until the end of the semester. This is the so-called "control" group.
>
> 3. *The post-test group.* In this case the rating form was used only at the end of the semester to determine whether midsemester ratings had a sensitizing effect on teachers in the no-feedback group; that is, whether simply using the form caused teachers to change, even without getting feedback. (p. 20)

Centra hypothesized that if student feedback improved instruction, then the end-of-semester ratings of the feedback group should have been better than either the no-feedback or the posttest group. It was not. In fact, all three groups turned out to be nearly identical in their scores for each of the items, an indication that the group of instructors who received student feedback did not noticeably modify their teaching practices in the half-semester. This finding was true for instructors in all disciplines, from both sexes, and with varying amounts of teaching experience.

Had Centra stopped there the results would have suggested that student ratings are of little or no value in changing instructional practices. But additional analyses proved that this was not the case. Teachers in the feedback and no-feedback groups were asked to respond at mid-semester to slightly reworded items from the student form, such as whether they thought they had made their objectives clear, and whether they thought they were encouraging students to think for themselves. It was hoped that student feedback would effect changes in teachers who rated themselves more favorably than did their students. Centra (1972b) found that his expectations were generally fulfilled; the greater the discrepancy—where the discrepancy reflected the extent to which students rated teachers less favorably than the teachers apparently expected—the greater the likelihood of change (p. 21).

What are the implications of Centra's research for us today? First, they support the utility of student ratings for instructional improvement—instructional improvement not in the sense of enhancing stu-

dent learning, but in the sense of changing instructor behavior in the classroom. Secondly, they support the point that student ratings are a limited way of improving teaching and that their impact will vary according to the "treatment" given the student responses (Centra 1972b, p. 22). The magnitude of changes in instructor behavior was not great in Centra's study. More research is needed to determine whether or not publicized ratings would have resulted in greater changes. Finally, this study suggested that there may be other forms of feedback to the instructor that would be more effective than computer printouts.

More recently, McKeachie and Lin (1975) have explored the effects that personal feedback of student ratings have had on teacher behavior. The results of their study indicate that student ratings alone are not very helpful in changing teacher behavior, but that a plan for using student ratings in the counseling of teachers is. Could it be that the greatest value of student ratings will be in their use in faculty development programs, as opposed to their use in the evaluation of faculty for promotion or tenure?

*Research on Colleague, Administrator, and Self-Evaluations of Faculty*

This section will review briefly a selected group of the more current research studies in the areas of colleague, self-, and administrator evaluation of faculty. The reader is referred to the works of Genova (1976), Miller (1974, 1972), and Scott (1974) for more complete reviews of research in these three areas.

Centra (1975) recently studied the reliability of colleague ratings in the evaluation of college teachers. His study was an attempt to find answers to the following questions: ". . . How would colleague ratings based on actual classroom observation compare with student ratings? How reliable would colleague evaluations be when the influence of teaching reputation is minimized?" (p. 328). The study itself was conducted in a new, small university. Student and colleague ratings were obtained from 78 teachers. For 34 of these, complete colleague data (two visits by each of three colleagues) were available. The sample included faculty members from each department and from all ranks; it therefore appeared to be representative of the total faculty. To facilitate comparisons of student and colleague ratings, 16 items were selected from the student rating form, called SIR, Student Instruction Rating (Centra 1972a), and used as the instrument for colleague ratings. Items selected for the colleague rating version reflected practices that could be observed during a class visit. Each teacher in the study was observed and rated twice by each of three

colleagues for a total of six separate ratings. Participants were visited by colleagues from both their own and other departments, and most of the visits occurred in the last half of the winter term. Finally, the student ratings used for comparison in the research were collected in the last week of classes with the SIR form.

Centra (1975) found that colleagues were very generous in their ratings. For example, on the item evaluating overall instructor effectiveness, the average colleague rating was 4.47 on a 5-point scale (s.d. = .43). Student ratings for these same instructors were also very favorable, but not to the same extent as colleagues' ratings. The average of the student class means was 3.98 (s.d. = .54) (p. 330). More importantly, Centra found that the projected reliability for 15 student raters was .85, while for 15 colleague raters it was only .57. Also, the average correlation among ratings by different colleagues was slightly under .26 (1975, p. 331). Centra feels that the low reliability for colleague ratings is serious enough to cast doubt on the value of colleague ratings. He believes that reliable colleague evaluation would require several visits to a faculty member's classes by at least a dozen colleagues, a time investment that he thinks many faculty members would be unwilling or unable to make (1975, p. 332). He concludes his study by stating that there may, however, be several important aspects of teaching that colleagues would seem to be able to judge. Among these were the "instructor's qualifications and knowledge in a subject, the course syllabus and objectives, the reading lists and materials employed in instruction and the assignments and examination" (1975, p. 335). Finally, he felt that colleagues might also be able to judge concrete evidence of student achievement in the form of test results, term papers, or course projects.

Hildebrand, Wilson, and Dienst (1970), like Centra, have suggested that ratings by colleagues might be used to supplement ratings by students. In their research on student ratings, they found that there were certain items that faculty, not students, could observe and evaluate. They felt that colleague rating scales could be developed from these items (pp. 37-38). In this investigation, Hildebrand et al. also discovered fairly high agreement between faculty and students in terms of a given teacher's teaching effectiveness (Hildebrand et al., 1970, p. 7). Kulik (1974) has reported more recently that such agreement between these two groups has been found in several studies.

In summary, it would appear that there is still considerable confusion regarding the role of colleague evaluation of faculty in higher education. Although a substantial number of educators have ex-

pressed their personal views (Miller 1972; Eble 1972; Kulik 1974; Kulik and McKeachie 1975; Seldin 1975), research studies investigating the reliability and validity of colleague evaluation for purposes of evaluating teaching, research, or service performance have yet to be carried out.

Let us now look at some of the research on administrator ratings of college faculty. Kulik (1974) has reported that "Insofar as it is possible to judge from published research, ratings of a teacher by an administrator are virtually interchangeable with ratings by the teachers' colleagues" (p. 3). One study described by Kulik was conducted by Blackburn and Clark (1971) in a small midwestern college. They found a correlation of .62 between ratings by administrators and by colleagues, and suggest that this is probably as high a correlation as the reliabilities of the two composites would allow. These researchers also found a correlation of .47 between administrative ratings and student ratings of teaching effectiveness. They conclude that the correlation between ratings of administrators and students—if adjusted for unreliability—would probably be about the same as that between ratings by students and colleagues (Kulik 1974, p. 3). It is not possible, however, to generalize from this one study that colleague, administrator, and student evaluations tend to correlate at a high level. We have even fewer research studies on administrator evaluation of faculty than we do on colleague evaluation. A great deal more research is needed to determine the associations that exist, if any, between colleague, student, and administrator evaluations of faculty.

As we have seen, support for faculty self-evaluation as a teaching appraisal technique has come from Miller (1972). Miller recommended that it be adopted as part of an evaluative system because:

> As one develops greater self-awareness, he is able to respond more effectively to the areas and interests of others, and he is more likely to observe unspoken clues to behaviors and needs (p. 35).

There are, however, several strong critics of the evaluation of teaching performance through self-evaluation. Eble (1972), for example, suggested that the subjective nature of self-appraisal would not be a substantial addition to evaluation processes that, in his view, were most in need of objective data. Interestingly enough, there has been at least one research study that would give strength to this position. Blackburn and Clark (1971) found little support for the usefulness of faculty self-ratings. In their study, they reported negligible correla-

tions between self-evaluations and evaluations by administrators, colleagues, and students (Kulik 1974, p. 3).

One of the problems with self-evaluations is that they are not composite ratings. In composite ratings, such as student or colleague ratings, differences among the raters will cancel out. The severe judgment of one colleague in a colleague rating form may be balanced by a more lenient rating from another, and thus, a tempered judgment emerges from disparate views. Self-ratings, on the other hand, are not composites but evaluations from a single person. In self-reports, a format weighting of all kinds and sources of information that clearly outlines evidence desired should be mandatory. Otherwise, the dull instructor may assign himself a more generous rating than the brilliant or good teacher who is self-effacing.

The AAUP "Statement on Teaching Evaluation" presents both of the arguments that are being made for and against faculty self-evaluations today:

> The limitations of self-evaluation are obvious, and neither the teacher nor the institution should be satisfied with self-evaluation alone. However, faculty members as individuals or as members of committees can assist colleagues in making the kind of self-evaluation which constitutes a contribution to improving and evaluating teaching. Arousing an interest in self-examination, structuring self-evaluations so that they might afford more reliable data, and giving faculty members the opportunity to assess their own teaching effectiveness, and to add their own interpretation of student ratings and classroom visitations can increase the usefulness of self-evaluation as a part of the review process. (1974, p. 170)

If one of the major purposes of faculty evaluation is for faculty development, then it would seem appropriate to include self-evaluation as part of the evaluation process. The reflection stimulated by self-evaluation can be rewarding for both the faculty member and the college. A faculty member's views on his or her place in a total educational program provide baseline data for the establishment of individual development goals. These views also provide a college with an inventory of its human resources.

*Summary*

As we have seen in this section, there has been a great deal of research conducted in the area of student evaluation, primarily in the area of student ratings. Even with this extensive research, we have not been able to establish the validity of student ratings in terms of student achievement. More research is obviously needed, particularly at the institutional level, to establish both the reliability and validity

of the various rating instruments being used today. In contrast, the areas of colleague, administrator, and self-evaluation of teacher performance have received very little research attention. Because of this lack of research, very few conclusions can be drawn regarding the impact of these types of evaluations on either student learning or faculty behavior. Most people who have studied one or more of these forms of evaluation, however, would recommend that faculty evaluation should not rely on only one source of information for data. The best approach to faculty evaluation would appear to be one that is as comprehensive as possible.

## Descriptions of Selected Faculty Development Programs

There are an increasing number of varied faculty development programs in higher education today. As with many forms of innovative and rapidly expanding programs, a comprehensive list of these does not exist. The purpose of this chapter will be to describe briefly some recent developments that might stimulate others to think more deeply about their own faculty development activities. The main intent here will be to illustrate and not evaluate. The programs included are those for which descriptions were available and that represented a variety of different types of approaches. No other selectivity criteria than these were used.

Since in some cases topics are parallel and in other cases not, the reader might find it helpful to consider the following questions:

- What circumstances caused the formation of the program?
- What type of goals are expressed through the program?
- How was the program organized and staffed?
- What were the major activities of the program?
- What method of funding was used to support the program?
- How has the program been evaluated?
- What policies has the program established that appear to be related to its success?

*A University Faculty Development Program—Syracuse University's Center for Instructional Development*

The creation of the Center for Instructional Development (CID) at Syracuse University was based on a series of assumptions. The first assumption was that the future of the institution rested on a high quality and exciting academic program that would bring about increased student enrollment and decreased attrition. The second assumption stated that traditional curriculum and course structures were generally insensitive to the needs, interests, and abilities of the individual student. The third and final assumption was that major and long-lasting improvements in curriculum and instructional programming would not take place unless a stimulus for change was

provided and unless an effective procedure for change was designed and implemented (Diamond 1975, p. 2).

CID was established in July 1971 as an outgrowth of, and replacement for, the Center for Instructional Communications (CIC) at Syracuse. A reorganization of existing personnel, combined with $108,000 in new funds, permitted additional staff to be hired in development and evaluation as well as in some of the audiovisual support areas that provided campus-wide services, which were a part of the on-going responsibilities retained from the former CIC operation. In addition, for maximum efficiency, all campus audiovisual services that previously had not been part of the CIC were brought together in this new Center, which included both the still and motion picture photographic units that were formerly separate operations. However, it soon became apparent that having major media support units in the center caused confusion about the functions of the center and about the relationship of the budget to specific activities. It was for these reasons that, in the summer of 1973, a second major reorganization took place that resulted in the structure that now exists (Diamond 1975, p. 2).

The center now operates within the office of the Vice Chancellor for Academic Affairs and under the direction of the Assistant Vice Chancellor for Instructional Development, to whom the center reports. Also reporting to this office is the Director of Audio and Visual Support. Organizationally, the Center has six units. A key one is Development, which consists of four full-time professionals who are responsible for working with departments on major projects. Their task is to choose which projects the Center should undertake, to plan and design them in collaboration with the departments and faculty members involved, and to call on the Center's technical staff and resources as needed. Each project has one of the Center's top professional staff members in charge, and that person is responsible for every aspect of the project until is it completed and phased into the regular operation of the academic department.

The second major unit of the Center is the Research and Evaluation office. The Center staff considers it especially significant that evaluation is an on-going, in-house function, built into every project from its inception. At Syracuse it is considered vital for research experts to be in on the start of a project to help define objectives, design especially appropriate measurement instruments, and monitor the progress of the project throughout. The purpose of this unit is primarily to assist those involved in the project to improve it as it goes along.

A third major part of the Center is Project Advance, one of the largest high school-college articulation programs in the country, enrolling over 2,000 students in 40 school districts throughout New York State. Project Advance grew out of the campus activities of the Center. The Project offers selected university courses to high school students for regular Syracuse University credit. These courses are taught by university-trained and supervised high school teachers as part of their regular teaching load and as a part of the students' normal academic program. The project operates on a break-even basis, thereby allowing the charge to students for university overhead and credit to be modest. First field-tested in the fall of 1973, the project had by 1975 expanded to nearly 60 school districts, with continued expansion anticipated.

A Graphics and Printing unit is the fourth element in the Center. Staffed by three professional artists, it handles all layout and design activities. As time permits, this unit also produces materials, at no charge, for faculty to use in the classroom. Significantly, though, most of the media support units of the University are located in an Audio and Visual Support Services unit separate from the Center, but responsible to it.

A fifth component of the Center is an independent Learning Laboratory, a 78-station facility used primarily to field-test the initial drafts of new material before being generally used on students. The Learning Laboratory is designed to permit students to use instructional sequences that use various media, ranging from audio tapes and simple programmed booklets, to tape/slides, film, and multimedia sequences. Each week an average of 1,000 students sign-in for up to 30 courses. In addition, seven of the University's computer terminals are located near the Learning Laboratory to permit use of computer simulations and various computational techniques.

A sixth unit, added recently, is Test-Scoring and Evaluation. This also provides for student ratings of faculty, which faculty members are free to use on a voluntary basis.

The Center is staffed not only by the full-time professionals, but also by Fellows in Instructional Development—faculty members whose time is recompensed, with the approval of appropriate department chairmen and deans, through the use of discretionary funds at the Center's disposal. Usually, six to eight faculty are awarded these fellowships each year and are paid for a period during the summer at a rate equivalent to their regular salary. Individual departments also provide support for additional faculty to work on developmental

projects, and graduate interns from the School of Education serve in the Center as well.

The Center for Instructional Development has created a very elaborate process for faculty development that has been described by Diamond et al. in a publication entitled *Individualized Development for Individualized Learning in Higher Education* (1975). The process covers two major stages: (1) design, and (2) production, implementation, and evaluation. The basic steps of their model in the production and implementation stage of curriculum and instructional development are (1) stating objectives, (2) design of evaluation instruments and procedures, (3) selection of internal design format, (4) evaluating and selecting existing materials, (5) designing and field testing new materials, (6) logistical coordination, and (7) implementation, evaluation, and revision. In using this model, the Center has been directly involved in over 50 projects, ranging from individual courses to entire curricula, and has worked with over 200 faculty members. While the Center is still supporting some single course projects, there has been a tendency over its five-year history for schools and departments to request Center involvement in projects of far greater magnitude. For example, some recent projects of the Center have included a 12-credit calculus sequence, a freshman-year School of Architecture Design Core, competency-based Music Education and Synaesthetic Education programs, a curriculum design project in gerontology and a new undergraduate curriculum design effort in the university's School of Education.

This Center seems to be accepted as an established part of the academic administration at Syracuse. It is financed with $275,000 per year in "hard money" from the regular university budget—not by outside grants (Gross 1975, p. 4). In 1974-75 the University Senate's budget committee reexamined every major activity to decide where to belt-tighten, and commissioned a study to determine whether the Center deserved continued support. The study revealed overwhelming endorsement among faculty members and departments that had worked with the Center.

According to Diamond:

> A Center like this one can be established by any small institution . . . [Syracuse enrolls 10,000 undergraduates and with only a modest endowment derives most of its operating income from tuition.] It would take an initial investment of under $60,000 and some of that would be resources and people already available, merely needing to be redeployed and focused in a new way. Instructional development is much more a matter of institutional commitment than of throwing money or media at your problems. (Gross 1975, p. 4)

*A College Consortium for Faculty Development—Great Lakes Colleges Association's (GLCA) Consortial Experiment in Faculty Development*

In 1973, a Kalamazoo English teacher, then acting president of GLCA, selected a group of teachers to become a task force on improving teaching. That task force, representing a variety of disciplines and 12 GLCA schools, became the Professional Activities Committee that spawned a proposal for a faculty development program. With only minor modifications, the proposal survived the critical scrutiny of both the GLCA Academic Council and Board and was seeded by a grant from the Lilly Endowment, Inc., to run from July 1974 to June 1977. Financial support for the program is expected to be over $400,000 from Lilly and over $200,000 from the colleges during this experimental period.

Government of the program is by an advisory board of GLCA teachers and administrators and includes an employed staff of three people, two on a part-time basis. Board members are appointed by the GLCA president for the purpose of approving policy, offering critical advice and, in some cases, assisting the staff in implementing the program.

Elements of the program include teaching fellowships, a consultant service, interinstitutional workshops on individual teaching issues, and the development of bibliographic and other resources. Both the elements and the organization of the Program are being tested and criticized. Participants in any aspect of the Program are asked for evaluations.

*Teaching Fellowships*—Two rounds of GLCA Teaching Fellowships, supporting excellence in teaching, will have been completed by June 1977. Thirty-four GLCA faculty members are now finishing Fellowship responsibilities and more than forty new Fellows gathered for an initial conference in the spring of 1976. Appointed by their individual institutions on the basis of "potential for growth in teaching," Fellows are commissioned to work toward personal professional objectives, to assume responsibilities for stimulating interest in teaching issues on their home campuses, and to meet with the entire group of Fellows to examine liberal education both in philosophy and classroom applications.

The application procedure this year emphasized potential relationships between a Fellow's long-term professional growth and his or her examination, through a project, of any of a wide range of instructional, philosophical, and institutional concerns. The new Fellows are not required to make final project plans until this summer's

workshops are concluded, but preliminary proposals indicate interest in such diverse issues as teaching writing, designing new curricula in urban and women's studies, retraining in Renaissance and art history, reaching less able students, using computer-assisted instruction, and evaluating the structure of liberal education.

The 1976-77 Fellows met for a weekend conference in April and attended two workshop sessions, lasting more than a week each, in June and July. The first session of the summer workshop included a colloquia on values in liberal education, programs on classic teaching styles, learning theories and methodologies, and opportunities to examine personal styles of learning and teaching. A general emphasis of the second session, in which spouses of Fellows were invited to participate, was on changing patterns in careers and life-styles.

The newly-appointed group of Fellows is more heterogenous than the first round. A disproportionate number of the first group were social scientists and a majority were assistant professors. The new group represents, in almost equal number, the humanities and both the social and the natural sciences, and nineteen new Fellows are associate or full professors. Also, to date almost twice as many women have been selected as in the previous round of Fellowships.

*Consultant Service*—The Consultant Service was established in October 1975 to create the opportunity for an individual or a small group of faculty to discuss teaching issues with a colleague from another campus. The Service is designed to encourage teachers to examine issues relevant to their own teaching and to discuss and work on these systematically with as much freedom from campus social and political pressures as possible. This basic use of the Service is increasing; but expressed needs of a slightly different variety have resulted in a logical, but unanticipated outgrowth of the Consultant Service—"mini-workshops." To date, these one-day conferences have gathered faculty members from three or four neighboring colleges to consider such topics as the teaching of foreign languages, videotaping of teaching, and the purchase, maintenance, and operation of audiovisual equipment.

*Interinstitutional Workshops*—The interinstitutional workshops are the element of the Faculty Development Program's first three years of activity that touched the greatest number of GLCA faculty members. GLCA interinstitutional workshops have been scheduled by faculty request and planned by faculty members. Each workshop is designed around one central teaching issue and brings together between 30 and 50 participants, usually for two or three days. The workshop is

geared to encourage follow-up activity within the participating institutions and to continue intercampus exchange.

The six workshops held in 1975-76 were: Student-Faculty Relations, Teaching of Urban Studies, The Uses of the Outdoor Environment for Teaching and Research, The Women's Studies Workshop, The Workshop on Teaching Writing, and The Summer Simulation Workshop. Each was proposed and, after approval by the Faculty Development Board, planned by faculty members from one or more GLCA institutions. There was no other common requirement; and while the program offered counsel and financial assistance, the style, format and basic objectives were the responsibility of the faculty members planning the workshop.

*Evaluation*—During 1975 an "external review team" was employed to visit campuses, review evaluation reports, and assist in a variety of ways with formative assessment of the program's elements and the impact on individuals and institutions. The team then proposed that the next phase of the program should primarily be evaluated from within, although each member of the team agreed to continue in a special relationship to the program.

In summary, the twelve GLCA institutions share a common commitment to liberal education, yet represent both varied resources and considerable differences in approach and philosophy. The program administrators believe most good teachers want to improve professionally, and they believe coming together from different institutions stimulates thinking and fosters broader bases of support for both teachers and colleges. A prime goal of the program has been to keep aware of and centered on the needs represented by diverse institutions, while giving support and encouragement to each (Reed and Scholl 1976, pp. 1-3).

*A Statewide Program for Faculty Development—Florida's Community College Staff and Program Development (SPD) Project*

In 1968 the Florida legislature approved a special statewide funding program for staff and program development (SPD) for the state's community colleges. Under this program, the colleges were to receive initial funding at the rate of 3 percent of college salaries for staff development activities. In 1973, a new procedure for determining the apportionment of state funds to Florida's 28 community college districts was enacted. The new funding procedure law removed staff and program development authorization and formulation from law. State Board of Education Rule 6A-14.29 now provides the authority for the SPD program and provides the allocation formula. Further

direction for administering the SPD program remains with the State Board's Division of Community Colleges, and funding is now at the rate of 2 percent of each college's previous year's apportionment for current operation (Division of Community Colleges 1976, p. 1).

A Staff and Program Development Guidelines Committee, consisting of representative members of the community college system, aids the Florida Division of Community Colleges in maintaining guidelines for the SPD program. The SPD program is coordinated by a system of one SPD representative from each community college. At the college level, however, a variety of staff development models are in operation, ranging from the use of staff development committees and comprehensive programming to one-man operations and limited-focus projects.

Under the program each college SPD coordinator is required to submit three forms in the planning and evaluation of his or her college's staff and program development activities to the Division of Community Colleges. The first form is the "Five-Year Goals Plan." On this form are identified the long-range goals for staff and program development as determined by the college. Each year the colleges are required to review their plans and submit either an updated or continued "Goals Plan." The second form required by the Division is the "Activity Evaluation." On this form are reported the evaluations of staff and program development activities. An Activity Evaluation is prepared for each discrete activity. Finally, a "Financial Report Summary" form is submitted with each collection of Activity Evaluation Forms.

Basic to the staff and program development concept is that it is not a device to obtain more operating funds for the community colleges. The use of staff and program development funds to pay for normal operating expenses is not permitted under this system. Since staff and program development funds are appropriated for staff and program development purposes, the following restrictions are in operation:

1. *Salaries*—Funding new positions with staff and program development money, when authorized, is limited to planning and initiating new programs. The payment of salaries for such positions from staff and program development funds is limited to a maximum of three years.
Funding existing positions with staff and program development money, when authorized, is limited to providing released time for planning or study which contributes directly and measurably to program development. Staff and program development funds may be used for salary increases or fringe benefits only for positions supported from staff and program development funds.
Salary payments are to be limited to program initiation or improvement rather than expansion of existing programs.

*Table 6. SPD Expenditures by PPBS Program Area Served Most, 1974-75*

| PPBS Program Area | 1974-75 Staff Development Cost | Staff Development # Activities | Program Development Cost | Program Development # Activities | Total Cost |
|---|---|---|---|---|---|
| A&P | $769,069 | 77 | $523,789 | 111 | $1,292,858 |
| Occ | 46,932 | 24 | 338.815 | 66 | 385,747 |
| Dev | 1,601 | 3 | 85,635 | 10 | 87,236 |
| CIS | 0 | 0 | 8,310 | 4 | 8,310 |
| OR | 0 | 0 | 132 | 1 | 132 |
| PS | 0 | 0 | 11,433 | 4 | 11,433 |
| AS | 41,533 | 12 | 143,856 | 32 | 185,389 |
| SS | 21,663 | 12 | 119,318 | 16 | 140,981 |
| IS | 42,514 | 19 | 267,191 | 24 | 309,705 |
| PP | 75 | 1 | 0 | 0 | 75 |

Key: A&P — Instructional, Advanced and Professional
Occ — Instructional, Occupational
Dev — Instructional, Developmental
CIS — Instructional, Community Instructional Service
OR — Organized Research
PS — Public Service
AS — Academic Support
SS — Student Support
IS — Institutional Support
PP — Physical Plant Operation and Maintenance

Source: Division of Community Colleges, *Staff and Program Development in Florida's Public Community Colleges, 1974-75*. Tallahassee, Florida: Department of Education, Division of Community Colleges, 1976. Reprinted by Permission.

ment funds is limited to program initiation or improvement rather than expansion of existing programs. In addition, the equipment must not merely duplicate or replace existing equipment, merely increase existing inventories, or meet regular, ongoing equipment needs. Equipment purchased with staff and program development funds must not account for more than fifteen per cent of the staff and program development allocation of the college for the year of purchase. A college may request authorization from the Division of Community Colleges to exceed this limitation on the basis of special justification.

A limitation of three years applies to equipment rental and equipment incremental purchases.

5. *Contingency*—A budgeted contingency is permitted in an amount not to exceed two percent of the staff and program development allocation of the college for the year of the contingency. Expenditure of contingency funds must be consistent with the guidelines.

6. *Self-Study*—Staff and program development funds must not be used to pay the direct costs of meeting Southern Association or other accrediting agency self-study requirements. (Division of Community Colleges 1976, p. 7)

From 1969 to 1975 Florida's two-year colleges have spent $14,574,296 on their SPD programs. Their 1974-75 expenditures alone amounted to $2,421,866. Table 6 provides a description of SPD expenditures by Program Planning and Budget System (PPBS) program areas for 1974-75.

It can be seen from this table that most of the funds in 1974-75 were spent on instructional staff. However, this program does not limit expenditures to only full-time teaching faculty. Funds in this system have been and are being spent on programs for administrative, clerical, and other support staff (Zion and Sutton 1975, pp. 41-51). In summary, one might describe the Florida SPD model as a comprehensive staff development system that includes organizational as well as personal and instructional development components.

### *A Regional Consortium for Faculty Development—Kansas City Regional Council for Education's Center for Professional Development*

In 1972 the Kansas City Regional Council for Higher Education (KCRCHE) began to shift its programs and services increasingly into the area of *professional development*. In 1974 the Center for Professional Development was established by a three-year grant of $202,150 from the W. K. Kellogg Foundation. It was agreed that resources—both cash and in-kind—from KCRCHE's central program budget and from the participating colleges and universities would also be committed to the Center annually. Member contributions have

taken the form of an annual $500 institutional fee, plus formula matching for grants made by the Center to home-campus professionals. The Center's budgets for the two years of its operation, with a projection for the third year, yield the following totals (Gaige 1976, p. 7):

| Year | WKKF | KCRCHE & Members | Total |
|---|---|---|---|
| 1974-75 | $50,250 | $25,066 | $ 75,316 |
| 1975-76 | 75,950 | 33,842 | 109,792 |
| 1976-77 (projected) | 75,950 | 31,469 | 107,419 |
| 3-year totals | $202,150 | $90,377 | $292,527 |

There are approximately 2,500 faculty members and administrators in the member institutions of KCRCHE. They teach in and administer three public and one private community college, one large urban state university, 10 private liberal arts colleges, most of them located in rural communities, and one private college of art.

The Center was staffed in its first year by one full-time professional and in its second year by another professional, with adjunct staff drawn primarily from the member colleges and universities of KCRCHE, and with assistance as well from other program officers on the KCRCHE professional staff. A detailed description of the Center's services is contained in a program brochure, but its major components can be summarized as follows:

> *Services for teaching effectiveness and retraining:*
> Individual services are available to those who want to increase their teaching effectiveness, or to prepare for new teaching assignments within the home institution. Such services include in-class observation and evaluation of the teacher's classroom performance; assistance with the development of course materials, teaching methods, and models of course organization; assistance with proposal-writing for support of the individual's professional development projects; and help with sabbatical and long-range career planning. To these ends, private consultation, workshops, information services, and short-term internships are available in and through the Center.
>
> *Services for administrative effectiveness and retraining:*
> Individual services are available to those who want to increase their administrative effectiveness, or to prepare for new teaching assignments within the home institution. Such services include on-the-job observation and evaluation of the administrator's work performance; assistance

with materials, administrative methods, and models of administrative organization; assistance with proposal-writing for support of the individual's professional development projects; and help with sabbatical and long-range career planning. To these ends, private consultation, workshops, information services, and short-term internships are available in and through the Center.

*Personal services*:
The Center gives particular attention to issues which arise in the professional life-cycle. *New teachers* get assistance with standard and nontraditional classroom methods, independent study, course design, bibliographical resources, student-advising, and long-range career planning. *Mid-career professionals* get assistance with interest-aptitude testing, individual consultation, and group discussion of mid-career interests and problems. Pre-retirement planning offers timely attention to financial, avocational, and other aspects of retirement. *Career assessment and relocation services* include help with preparation of professional resumes, testing and assessment of career alternatives, and job-search procedures for those whose contracts are not renewed. *Psychological services*, both individual and group, are available to those who face especially difficult career or personal problems.

*Information services*:
By virtue of its location within the Kansas City Regional Council for Higher Education, the Center can provide each individual professional with a direct link to a wide information-network, both within the KCRCHE member-campuses, and beyond them in the wider community of higher education. The KCRCHE staff constantly monitor the broad field of professional practice to find out what is happening where, who is doing it, how it is being done, and whether or not it works. Information is also available on regional and national conferences, professional meetings, advanced-degree and post-doctoral programs, and funding opportunities. (Gaige 1976, pp. 3-4)

Two things in particular distinguish the operational style of the Center for Professional Development. First, the members of its staff work primarily on a *one-to-one basis* with individual teachers and administrators from the member campuses. Group activities—workshops and conferences—are conducted to deal efficiently and cost-effectively with common areas of interest and need and to provide the staff with a wide range of initial contacts that may result in individual consultation; but in spite of its staff-intensive character, the staff at the Center has become convinced that one-to-one consultations are the most effective and relevant way in which professional assistance can be provided. Secondly, *complete confidentiality* is assured to all who request the services of the Center. With the full support of the participating institutions, it is clearly understood that the Center staff will make no report to the home campus on their relationships with clients, except at a client's request.

*Evaluation*—The Center for Professional Development has gathered some useful measures of its work. Since its inception in September

of 1974, the Center's staff has worked with *335* campus professionals in direct, one-to-one consultation. Additionally, *541* persons have been in attendance at Center-sponsored conferences and workshops, some of which were delivered directly to member campuses, and some of which were held at a central location. Finally, the Center has expended $28,4990 in grants to 115 people, who received an additional $7,125 in 4:1 matching funds from their home institutions.

There has been further assessment of the Center's effectiveness and impact. An evaluation of Center operations was conducted by Dr. Laurence N. Barrett, currently professor of English at Kalamazoo College. In the concluding section of his evaluation Dr. Barrett commented on the KCRCHE project: "No program of professional development in this writer's knowledge has achieved so much in one-to-one contacts with individual faculty" (Gaige 1976, p. 6)

*Lessons Learned*—Gaige (1976) believes that the following insights have been gained in this project:

> 1. One-to-one assistance to individual faculty members and administrators, . . . is the most effective way to assist them.
>
> 2. There is no longer any question about the usefulness of this consortium-based professional development program as it relates to support of individuals on the campuses. . . .
>
> 3. Advantages of this consortium-based professional development program in comparison to single institution-based programs.
>
> a. The consortium-based program is more cost-effective. . . .
>
> b. As mentioned above, the consortium creates a relatively large pool of resource people who are available as local consultants. . . .
>
> c. Individuals often feel less threatened in discussing their profession-related problems with someone from the consortium's central office than they do with a colleague from their own institution. . . .
>
> 4. Disadvantages of the consortium-based professional development program in comparison to single institution-based programs.
>
> a. It is difficult for the consortium-based program to obtain as much visibility on a campus as a campus-based program would have. . . .
>
> b. Thus, although the consortium program can be of significant assistance to individuals on the campuses, it has more difficulty than many campus-based programs in achieving institution-wide impact.
>
> 5. The type of one-to-one assistance which we undertake is staff intensive. A great deal of our time is taken up in working with a relatively few individuals, 200 to 300 this year. Because we believe it is important that our program have impact on the member institutions as well as upon individuals, we have decided to shift our focus. Instead of broadcasting our services to all 2,500 faculty members and administrators, and then assisting whoever comes forward, we will focus our publicity efforts and our attentions on the faculty members and administrators most likely to have an impact on their institutions, that is, the department and division chairpersons, the presidents, deans and several other key administrators. . . . We will begin to spend a larger percentage of our time organizing workshops (p. 10).

## Descriptions of Selected Student and Faculty Evaluation Programs

It is indeed surprising that more good descriptions of university and community college faculty evaluation programs cannot be found in higher education literature today. Miller (1974) has described the evaluation program at Texas Christian and Boyd and Schietinger (1976) have given us eight general examples of faculty evaluation procedures in the South, ranging from faculty evaluation at a privately controlled liberal arts college for men to faculty evaluation at a doctoral degree-granting state university. Beyond these reviews and the descriptions of Genova (1976) and Miller (1974) of various student ratings forms, very few summaries exist of institutional faculty evaluation systems. This section has been included to acquaint the reader with a few examples of some recently developed student and faculty evaluation systems in our colleges and universities.

### *A Student Evaluation System—Purdue University's "Cafeteria" System for Course and Instructor Evaluation*

The staff of Purdue University's Measurement and Research Center (MRC), in the spring of 1972, created "Cafeteria," a computer-assisted system for building tailor-made student rating instruments and for analyzing responses to them. Under this system each instructor selects from a catalog of rating scale items those that fit his needs. Alternatives to this procedure include item selection by students or by faculty and student committees. To each selected set, a standardized and nonoptional "core" of five items is automatically added. These core items serve both for comparisons across and between members and they assure that each of five recurring factors, facets, or dimensions of teaching are represented.

Cafeteria encourages and requires considerable faculty participation. The applicability and fairness of each catalogued item becomes a faculty decision. Quite literally, each instructor shops for a match between characteristics of his course—its focus, content style, and goals—and of the questions by which the course is then evaluated. Procedures that the system uses are relatively new, although the concept and its application were suggested by McKeachie, who wrote: "It may be desirable for instructors to devise different specific questions for their use while only a few broad question are used for

the entire faculty." He also wrote that "an important principle here is that one is most likely to use information one wants. Thus, if we want professors to use information from student ratings, our purpose is most likely to be achieved if we use items he has asked to include" (McKeachie 1969, pp. 439-443).

Cafeteria was developed as an information retrieval system out of a realization that instructional evaluation had become increasingly decentralized. The number of entirely tailor-made student rating scales has proliferated in the United States. To retrieve and centralize evaluation results, MRC's staff collected these scales, edited them to conform to a single response pattern, and placed this item pool in computer storage. A *Catalog* was then published and distributed to the Purdue faculty.

The operations for this system are outlined below:

> 1. From the catalog, each instructor selects items which best fit individual requirements and interests. Items are recorded by catalog number on special request forms, which are then mailed to a processing center.
>
> 2. At the processing center, identification numbers are assigned, a control card is generated, and the request form is input to the computer. On command, the computer builds the tailored rating instrument and directs printing of these in quantity on a line printer.
>
> 3. The instructor administers the rating instrument to his/her class and returns completed response sheets (or cards) to the processing center.
>
> 4. A separate report is generated for each classroom administration and these are sent to instructors. When all evaluations for a single semester have been processed, a report containing item response characteristics and norms is written and distributed to faculty. All reporting and norming sequences are computer-assisted. (Derry, Seibert, Starry, Van Horn and Wright, 1974, p. 11)

Participation in the Cafeteria program at Purdue and elsewhere has taken one of three forms, which are summarized in Table 7 according to the primary components of each. To every rating instrument, regardless of the form of participation, the University Core is always added. Thus, each participating instructor is evaluated over a common set of items.

The options listed in Table 7 pertain to the standardized alternatives for participation in Cafeteria. Periodically, departments and/or instructors have had special requests for service beyond standardized options and these have been accommodated whenever possible in this system.

*Table 7. Item Selection Procedures for Three Forms of Participation in Cafeteria.*

| Typical Number of Items | Item Selection Procedures |
|---|---|
| | *Option 1: Instructor Participation* |
| 15-25 | Instructor selects items from the Catalog |
| 3 | Instructor writes items of special interest |
| 5 | RMC adds University Core automatically |
| | *Option 2: Instructor and Department Participation* |
| 9-13 | Instructor selects items from the Catalog |
| 3 | Instructor writes items of special interest |
| 8-12 | Department selects a core items |
| 5 | MRC adds University Core automatically |
| | *Option 3: Department Standardizes a Rating Scale* |
| 20-25 | Department committee selects items from Catalog |
| 5 | MRC adds University Core automatically |

Source: Derry, J. O. et al. *The Cafeteria System: A New Approach to Course and Instructor Evaluation.* West Lafayette, Indiana: Measurement and Research Center, Purdue University, 1974. Reprinted by Permission.

The core in this system serves as an abbreviated, standardized rating scale that is nonoptional, meaning that a common set of items appears automatically in each rating scale. Currently, five items comprise the core and these were selected as being widely applicable to many different teaching situations:

1. My instructor motivates me to do my best work.
2. Course assignments are interesting and stimulating.
3. My instructor explains difficult material clearly.
4. Overall, this course is among the best I have taken.
5. Overall, this instructor is among the best teachers I have known (Derry et al., 1974, p. 20).

For these core items, an instructor receives a normative ranking based upon selected norm groups. Since participation has not been mandatory for most departments at Purdue, those faculty who have been evaluated constitute a self-selected sample. Nonetheless, items in the core have produced "normal" distributions, suggesting that willingness to conduct evaluation transcends reported performance.

In addition to safeguards provided by confidentiality policies, Cafeteria's computer programs have been designed to routinely delete the instructor's name from all computer files. Such information is not necessary to Cafeteria's functions beyond the initial report-writing stage.

Shortly after Cafeteria's inception, the Measurement and Research Center received requests for information from other colleges and universities about the system. Thus, during the system's development at Purdue, care has been taken to create a "Cafeteria" that could be used at other institutions. The system's four FORTRAN computer programs were designed to run on inexpensive minicomputers; a systems manual, including information on operations, procedures and programs, has been written. The system, complete with programs on source decks, the manual, the 200-item *Catalog*, and its corresponding item norms, can be obtained by way of a licensing agreement with the Purdue Research Foundation. The cost is typically $300 per year. However, costs for operating a local Cafeteria system have been found to vary from institution to institution. The cost at Purdue University is about 11 cents per student. In addition, each Cafeteria-user school has participated in a cooperative data exchange, so that norms for Cafeteria have been established for a wide range of instructor and course characteristics.

Approximately 50 institutions are now using Cafeteria, including the Universities of California—Davis, Michigan, Alabama—Birmingham, Wisconsin—Whitewater, Tennessee, Wyoming, Ohio State University, and Memphis State. Many others are experimenting with this system. Within Indiana, about 20 colleges and universities use the system, including both state-supported and private institutions.

### *A Community College Faculty Evaluation Program— Burlington County College's Evaluation, Reviews, and Appeals Procedure*

A number of community colleges around the country are presently experimenting with administrative systems that employ "management by objectives" (MBO) (Hamilton and Hinko, 1976). Burlington County College in Pemberton, New Jersey, is one such college. Over a two-year period, a joint committee of faculty and administrators at Burlington produced a faculty evaluation plan that is closely related to the administrative management-by-objectives program of the college and to the college's objective-based, systematic approach to instruction (Pierce and Schroede 1974). This plan was approved by the college's administration and ratified and accepted for implemen-

tation by a vote of the college's faculty. Under this plan, a faculty member and his or her divisional chairperson establish the specific objectives to be accomplished within the academic year. The objectives are based upon specifically stated instructional and institutional evaluative criteria and are agreed to by both the faculty member and division chairperson. Also, the method by which the attainment of these objectives is to be evaluated is subject to this agreement, and an overseeing committee of faculty and administrators (the Evaluation Practices and Appeals Committee, or EPRAC) has been elected to adjudicate any conflicts that arise. Finally, the chairperson or the faculty member, if either so chooses, may agree to the assignment of two divisional faculty members who will assist the chairperson in evaluating the success of the faculty member in meeting the stated objectives.

*How the Plan Functions*—The Evaluation Practices, Reviews, and Appeals procedure begins with a preevaluation conference between the faculty member to be evaluated and his or her divisional chairperson. This conference is designed to resolve three basic questions. First, a decision is made as to whether the evaluation will be formal or informal. An informal evaluation consists solely of the chairperson and faculty member reaching agreement on the objectives of the faculty member and the submission by the faculty member of a self-evaluation complete with relevant data to the chairperson by the end of the second semester of that academic year. In the case of a formal evaluation, a choice of evaluator(s) and the choice of objectives, methods, and evidence of attainment are required. A formal evaluation must take place every third year for tenured faculty members, with an informal evaluation held in other years. Nontenured faculty at the college are evaluated formally each year. Second, the chairperson and the faculty member agree as to whether the evaluation will be done by an evaluation team consisting of two members of the faculty member's division, the divisional chairperson, and the faculty member or by the faculty member and his division chairperson alone. Third, agreement is reached on the specific objectives to be accomplished during the academic year, the method for accomplishing the objectives, and the types of evidence to show the objectives have been attained. These matters are mutually resloved by November of each academic year (Pierce and Schroeder 1974, p. 28).

Once final agreement has been attained on the total evaluation plan, the plan is implemented and the necessary data collected. It is expected that the information collected will support the progress of

the faculty member in meeting his or her objectives. Faculty members are strongly encouraged under this approach to use the results of student evaluation in their evaluation plan. All data is submitted to the evaluation team or the chairperson by January 15 of each academic year. The team or chairperson then constructs a written evaluation report based upon the stated objectives. This written report and rating are completed by February 15. The rating can be satisfactory, questionable, or unsatisfactory. In the case of a satisfactory evaluation, the procedure ends. If the rating is questionable or unsatisfactory, the division chairperson is required to place with the evaluation data a description of the efforts he has made to help the faculty member to progress satisfactorily during the academic year. The faculty member has until March 1 to respond to the evaluation, the rating, and the chairperson's statement on his aid to the faculty member. Subsequent to March 1, a file is compiled consisting of all evaluative information relevant to the faculty member in question. This file consists of all information generated in the implementation of the evaluation, the report of the evaluation team (if a team has been utilized), the chairperson's report of his developmental assistance to the faculty member, and the faculty member's response to the team or chairperson.

*System Coordination*—Action can be initiated by a petition to the Evaluation Practices Review and Appeals Committee (EPRAC) chairperson by either the faculty member being evaluated or by any evaluation team member including, in this situation, the chairperson. Once initiated, the procedure directs the EPRAC chairman to request data from all parties: the faculty member, the evaluation team, and/or the division chairperson. Hearings are scheduled at which both parties to the dispute are allowed to present testimony. Based on the hearing, EPRAC renders its decision as to whether the evaluation was conducted according to stated procedures and informs all parties to the evaluation as well as the dean of instruction. The decision of the committee is binding on all parties. If the EPRAC decides that the evaluation was properly conducted, then the original rating stands. If the EPRAC is not satisfied, then it may recommend that all or part of the process be repeated or that further data be submitted by any or all parties to the evaluation process. The EPRAC will then again review the materials and pass judgment on the procedure as related to the rating awarded. The EPRAC does not recommend action concerning sanctions or dismissals. It merely judges the procedural aspects of the evaluation process with respect to the final rating bestowed by the evaluator(s). The division chair-

person and dean then decide what action is to be taken if the questionable or unsatisfactory rating is found to be valid. The EPRAC is composed of faculty members (six) and administrators (three) (p. 29).

In addition to the evaluation procedures, the joint committee on evaluation has also developed a list of 26 specific criteria on which faculty members base their annual objectives. These criteria fall into two major categories: (1) instructional performance (preparation, implementation, and evaluation), and (2) responsibilities as a member of the college community (committee service, general divisional responsibilities, community affairs, submission of appropriate reports, student advising, punctuality, professional growth, professional conduct, and the voluntary assumption of extra responsibilities). Thirteen of the 17 criteria in the area of instructional performance are mandatory (must have annual objectives based on them), while six of the nine criteria in the area of the college community are mandatory (Pierce and Schroeder 1974, pp. 31-32).

These evaluative criteria are viewed as parameters that define the institutional role of a teaching faculty member at Burlington County College. Objectives set by the faculty member as a basis for his or her evaluation are to be based on these criteria. A faculty member's objectives may satisfy more than one criterion; conversely, any one criterion set may be satisfied by more than one objective. These criteria are not meant to be all-inclusive nor is it intended that each criteria will necessarily apply to each faculty member's objectives.

During the deliberations of the original Joint Evaluation Committee, the EPRAC was given authority to recommend action concerning sanctions or dismissals in cases of questionable or unsatisfactory evaluations. However, this was changed at the will of the general faculty, which preferred that the EPRAC be involved only to determine that the procedures had been properly followed and that the evaluation was fairly conducted.

Pierce and Schroeder (1974) believe that this process provides evaluative criteria that delineate the job expectations the college holds concerning its teaching faculty, and allows maximum flexibility in the areas of the annual objectives of the faculty member and the methods by which the evaluation is to be conducted. Finally, they feel that the plan allows the utmost faculty involvement in the planning of the evaluation design through peer participation in assessing the outcomes (p. 32).

*A National Center's Faculty Evaluation Program—Kansas State University's Center for Faculty Evaluation and Development In Higher Education*

The Center for Faculty Evaluation and Development in Higher Education has been created by the Kansas Board of Regents at Kansas State University to facilitate the efforts of faculty members at colleges and universities across the nation as they pursue their teaching activities and other professional responsibilities. Three interrelated problems constitute the principal concerns of the Centers. They are:

> 1. The design and testing of effective assessment and improvement strategies in the areas of:
>  a. instructional effectiveness
>  b. non-teaching faculty activities
>  c. departmental chairperson activities;
>
> 2. The dissemination of proven, innovative assessment and improvement strategies and
>
> 3. The development of supportive services for institutions implementing faculty evaluation and development programs (Biles 1976, p. 1).

Kansas State University received a substantial two-year grant from the W. K. Kellogg Foundation of Battle Creek, Michigan, in 1975 to support the Center in its nationwide efforts. In a effort to continue the broad range of activities it is presently undertaking, the Center is planning to become self-sustaining through revenues generated from fees charged for specific educational services and materials.

While drawing upon the experience of a staff from several colleges and universities, the Center has been built on more than seven years of activity in faculty evaluation and development at Kansas State University (KSU). The initial thrust of this effort was undertaken in 1968-69 by Donald P. Hoyt, Director of the KSU Office of Educational Resources. With the assistance of a small U. S. Office of Education grant, a unique student-rating instrument was developed that, by providing useful feedback, could serve as a guide to instructional improvement. In 1970-71, Richard E. Owens was appointed as Director of the KSU Office of Educational Improvement and Innovations and inaugurated a successful on-campus faculty development program. During subsequent years, refinements and improvements were made both in the rating instrument and in the complementary faculty development efforts at KSU.

*Activities*—An initial program of the Center has been the Instructional Development and Effectiveness Assessment System—the IDEA system—which is available to all colleges and universities on an in-

stitution-by-institution, fee-for-service basis. When compared with other approaches that utilize student appraisal of instruction, the IDEA system has two unique characteristics. First, the IDEA system *defines instructional effectiveness as reports by students of their progress on those teaching objectives the faculty member specified as important for that particular course.* Second, the IDEA system *identifies strong and weak teaching methods or procedures related to student progress on the specified objectives.* As a consequence, the IDEA system has the capability of producing significant improvement in instructional effectiveness.

In brief, the IDEA system provides the faculty member with the opportunity to identify his or her own teaching objectives for a particular course from a list of ten inclusive objectives, and then asks the students in that course to assess their progress on the objectives. The IDEA system also asks students to report on the frequency of twenty specific teaching procedures used by the faculty member in the classroom, which are then reported as relative strengths or weaknesses. When low ratings on one or more of the faculty-designated teaching objectives occur in conjunction with low ratings on one or more of the relevant teaching procedures, then the teaching procedures that need modification become apparent and the starting point for faculty development efforts is identified.

The services and materials provided by the Center to institutions using the IDEA system on a fee-for-service basis include the IDEA Survey Form completed by the students plus related administrative forms and materials, computer-based scoring services and a presentation of results to individual faculty in the IDEA Report, and the IDEA Interpretive Guide and the System Handbook. The Center also provides the services of a team of educational development specialists and consultants at no additional fee to those institutions that fully participate in the program. The Center staff, with the assistance of outside consultants, conducts semiannual training workshops for those individuals who coordinate the use of the IDEA system on their campuses.

*Evaluation*—Evaluation indices to be considered in assessing the Center project will include the following:

1. The number of institutions utilizing the materials and services available from the Center, and the levels of use.

2. The effects of Center services and materials at participating institutions.

3. The development of the IDEA System Handbook and the IDEA Development Manual.

4. Collaborative relationships with other institutions and associations in higher education. (Biles 1976, pp. 5-6).

Much of the evaluation will be conducted by the Center staff and its internal consultants, since the major indicators are of a "balance sheet" nature.

Biles (1976) has commented that two important lessons learned in this project to date are that:

> Faculty evaluation and development is a topic of continuing interest in higher education and seems to be gaining momentum as a continuing topic of importance. Institutions of higher education are not organized to make prompt decisions . . . which is to say, it may take institutions one to two years to reach the decision to adopt the use of the IDEA system (p. 7).

In the field of higher education there is a lack of consensus as to whether or not faculty development programs and faculty evaluation programs should be separated administratively in institutions of higher learning. This lack of consensus was clearly illustrated at the "International Conference on Improving University Teaching," held at the University of Massachusetts in the fall of 1974. At the end of this conference, the participants were asked to indicate whether or not they agreed with a list of 20 proposed recommendations for improving university teaching. Responses to this survey were received from 276 (57 percent) of the participants. Of the 20 proposed recommendations, 17 were supported by more than 80 percent of these respondents. Two of the remaining three recommendations were supported by 65 percent of the respondents. Only one recommendation was not endorsed by a majority of the respondents—"that teaching improvement services and teaching evaluation services should be separated administratively" (Meloch 1975, p. 3).

The recent report on faculty development centers in southern universities prepared by Crow et al. (1976) points out that only two of 11 major centers reviewed in a 14-state area associated their institutions with faculty evaluation. Based on this report, one might conclude that the trend is toward a separation of faculty development and faculty evaluation programs. However, the recent research findings of the regional survey of faculty evaluation practices in southern colleges and universities by Boyd and Schirmjer (1976) suggest this is not the case. This study found that top-level administrators in 586 institutions ranked faculty development and improvement as the most important reason for faculty evaluation in their institutions (p. 7).

*Based on these findings, it seems clear to this writer that the best approach to faculty development and evaluation would be through one program in our colleges and universities.* From an institutional point of view, faculty development and faculty evaluation are opposite sides of the same coin and should draw upon the same source for information, i.e., students, colleagues, administrators, and self, as well as drawing on the same types of information. To conduct faculty evaluation without providing the faculty member with developmental assistance is a pointless exercise, particularly in light of

the need for the development of existing human resources in higher education today. Similarly, the carrying out of faculty development activities without evaluation i. also a meaningless exercise.

*What is needed in higher education today, if we are to have truly effective teaching, are policies and programs that combine the concepts of faculty development and evaluation into one program at the department and/or college level.* In this writer's opinion, *"growth contracts" provide the best available approach for achieving this end.* For that reason this section is devoted to a description of college growth contracting systems in operation today.

Hodgkinson (1973) called for the adoption of faculty growth contracts as a viable way to demonstrate professional competence. Gaff and Wilson (1971) have suggested "individualized contracts" as a useful approach to establish differentiated role responsibilities and evaluation of faculty (p. 480). More recently, Gross (1976a) stated that ". . . the use of growth contracts is one of the most suitable means to encourage professional development and bring a greater measure of integrity and fairness to the process of evaluating faculty and administrators" (p. 9). Growth contracts appear to be one of the best ways to achieve in one program the faculty development and evaluation functions of departments or colleges in American higher education.

Growth contracts in various forms have already been initiated or experimented with in several institutions of higher learning. The writer is aware of the use of growth contracts or variations thereof at New College of the University of Alabama (Tuscaloosa, Alabama), College of the Mainland (Texas City, Texas), Wharton County Junior College (Wharton, Texas), Ottawa University (Ottawa, Kansas), College of Education, University of Massachusetts (Amherst), Gordon College (Wenham, Massachusetts), Los Medanos College (California), Medical College of Virginia, Columbus College (Columbus, Georgia), and Austin College (Sherman, Texas).

Perhaps the most well-developed growth contracting policies and procedures can be found at New College, a small, nontraditional part of the University of Alabama. Because faculty and staff members are considered to be in a "co-learning relationship" with students, New College reasons that they should be evaluated. So all faculty and staff members (including Dr. Neal Berte, Dean of New College, and the clerical and secretarial staff who come in contact with students) enter into a contract to continue their learning (Mather 1975, p. 4). Each person under this system meets twice yearly with another professional of his or her choice (either the dean

or a colleague) to go over the contract the faculty member has drawn up and again to see how the person has measured up to his or her own goals and objectives. The contract itself may cover personal as well as professional goals and often contains both. One possible major drawback of this system is that the growth contract is not used in the reward structure—all faculty have joint appointments and are subject to evaluation for promotion, reappointment, and tenure through more traditional processes within New College and their departments. Berte argues that the separation of growth contracting from the evaluation-for-advancement system is necessary to create a nonpunitive atmosphere that frees faculty to be more honest (Mather 1975, p. 5). However, it is the position of this writer that a climate of trust still can be developed when the growth contracting process serves both the faculty development and faculty evaluation functions of a department, college, or university.

To illustrate this point, the growth contracting process at one institution is described where development and evaluation functions are combined.

*Growth Contracting at Gordon College*

Gordon College in Wenham, Massachusetts has recently received a grant from the W. K. Kellogg Foundation to assist the college in establishing a growth contracting process with approximately 40 of the college's faculty members and administrative officers (three-fourths of the fulltime faculty and members of the president's cabinet). The project began in January 1976 and will run through December, 1981. The general purpose of the project is the comprehensive growth of each participant through the design of an individual development plan. Specific objectives included are:

> 1. To individualize faculty role responsibilities in accordance with each faculty member's particular strengths, weaknesses, and interest.
>
> 2. To encourage growth of each faculty member commensurate with his strengths and defined institutional role.
>
> 3. To raise faculty performance levels individually and collectively.
>
> 4. To provide for a more precise and comprehensive basis for faculty evaluation and consequently improve personal decisions (Gross 1976b, p. 1).

According to Richard Gross (1976a), president of Gordon College, there are several factors that compel educators to consider new approaches to individualized development and evaluation. Some of the factors are:

1. . . . While a clearer accounting of faculty productivity seems appropriate, there is also need for faculty as professionals to retain the initiative in defining their roles and areas of needed development. Growth contracts enhance accountability while at the same time grant faculty broad prerogatives related to the specifics of their professional functioning.

2. . . . It is expected that a high percentage of faculty members will remain in their current positions for an extended period of time. Programs designed to stimulate on-going faculty growth are a matter of first priority if the inherent disadvantages of "quota-restricted" and "tenured-in" stable faculties are to be minimized . . . (p. 10).

Gross (1976a) maintains that faculty growth contracts should be based upon the following principles or assumptions:

In the first place, it must be recognized that each faculty member brings particular strengths and weaknesses to the academic community with which he affiliates. Accordingly, role definitions or institutional assignments ought to be made with due cognizance of one's strengths. At the same time, development plans should encourage comprehensive growth and improvement of the individual. . . .

Secondly, within the content of the common responsibilities shared by all faculty there is opportunity for *individualization of role definition*. . . .

A faculty growth plan ought to encompass all of the roles which faculty members may be assigned in the institution. *Comprehensiveness* is an essential characteristic of any plan that seeks to encourage total development of faculty and is the third principle upon which growth contracts are based. . . .

In addition to being individually defined, this approach to faculty development would be *self-imposed*. This is the fourth principle. . . .

Growth and achievement necessitate planning, which in turn calls for specificity in the statement of objectives as well as criteria and procedures for assessing outcomes. The *measurement of performance and growth* is the fifth characteristic or principle of individualized faculty growth contracts and is absolutely essential if success in this form of development is to be realized.

Sixth, growth contracts should be formulated on a *continuous and systematic basis*. In keeping with their individualized nature they probably ought to be of varying periods of time according to the goals of each faculty member and his place in the institutional decision-making cycle. . . .

Finally, faculty growth contracts should be *related to the institutional reward system*. To provide maximum motivation and incentive for participation, the outcomes of individually devised plans should provide an important perspective on such decisions as promotions, tenure, salary increments and other personnel considerations (pp. 10-11).

The staff of Gordon College has committed itself to a faculty development and evaluation program that uses growth contracting, and

has already field tested the use of "Individualized Development Plans" or growth contracts through a nine-month pilot study involving four faculty and President Gross. The staff is now attempting to implement the principles outlined above. To date they have learned that peer evaluation as a program goal can be achieved and that institutional expectations regarding faculty development must be supported with appropriate funding. The four-year grant from the W. K. Kellogg Foundation has provided some of that necessary support. The Foundation has committed $127,000 to the project through December 1979, while the College has budgeted $222,233 from its own resources through December 1981 (Gordon College 1976, p. 3).

At the present time, Gordon College is in the process of establishing guidelines for its new growth contracting system. The following guidelines have been proposed: The Dean of the Faculty is to administer the growth contract program and will devote approximately 20 percent of his time to the project. His involvement will consist of conferences with each participant at the early stages of the individual's long-range planning. Division and department chairmen are to participate in individual profile conferences, as appropriate. The Faculty Development Committee (FDC) is to consist of one faculty representative from each of the five academic divisions. The major areas proposed as delegated responsibilities for the FDC are: (1) to review and to advise in the design of individual development plans, and to approve the final drafts; (2) to advise in the selection of the evaluation committees for individual development plans; (3) to approve budget requests for individual development plans within budgetary limits; (4) to maintain sufficient records to make possible a thorough evaluation of the program; (5) to submit an annual report of the program to the Dean of Faculty; and (6) to plan and conduct at least one workshop on some aspect of the program annually.

Also planned is an Evaluation Committee (EC) whose job it will be to: (1) review the first-draft plans of participants along with any Faculty Development Committee suggestions, as well as advise the participant in the design of his growth contract or plan; (2) meet with the participant to support and to monitor the progress of the faculty member as he carries out his plan; (3) review the participant's self-assessment and the evidence he has produced; and (4) give him a written consensus evaluation of his growth as a result of his plan. Each participant in this system is to: (1) design an individual profile as a framework for proposed action; (2) prepare an individual development plan; (3) satisfy the self-imposed requirements of his plan; (4) assess personal growth resulting from his plan; and (5) re-

port the outcome of his annual activities to the Faculty Development Committee (Gordon College 1976, pp. 5-6).

It has been recommended that the procedures for implementing growth at Gordon College should consist of nine major steps. These nine steps, outlined below, would be the responsibility of the participants.

Step 1. Preparation of Individual Profile

Step 2. Profile Conference

Step 3. Preparation of First Draft of Individual Development Plan

Step 4. Submission of Profile and First Draft of Annual Plan

Step 5. Preparation of Final Draft of Annual Plan

Step 6. Submission of Final Draft of Annual Plan to the Faculty Development Committee

Step 7. Carrying out of the Annual Plan

Step 7. Assessment of Growth

Step 9. Submission of Final Report to Faculty Development Committee (Gordon College 1976, pp. 7-10).

Under step one, the individual profile is viewed as an outline of the individual's planning in support of his proposed plans for professional development. It is proposed that the components of this profile will be a written assessment of strengths and weaknesses, a statement of current roles, a statement of long-range goals, and a synthesis of these elements into a long-range development proposal (p. 10).

For step two, the faculty member would provide a copy of his complete profile to the Dean of Faculty and department/division chairman, and would then schedule a conference to consider its major components. The aim of the conference would be threefold: (1) to support the faculty member in his effort to promote his own professional development; (2) to inform the academic leadership as to the plans and efforts of individual faculty members; and (3) to initiate necessary dialogue and institutional action toward allowing for major changes or redefinitions of role (p. 15).

It is hoped that under step three the faculty member would prepare a growth plan that contained a statement of personal goals, means for accomplishing these goals, means for assessing the extent and quality of goal accomplishment, and budget requests related to the various means of accomplishment. At this time the faculty member would also be expected to select an evaluation committee or at least two persons whom he or she judged to be especially suited to

assist in the design and implementation of his or her plan and in the evaluation of individual growth. At Gordon College the committee members can include faculty colleagues, administrators, students, alumni, or colleagues from other institutions (pp. 15-26).

As part of step four, the faculty member's profile and annual plan would be assigned to two of the faculty member's colleagues on the Faculty Development Committee. These two faculty members would be given the responsibility of preparing a written response for the faculty member, which would contain comments and possible suggestions for improving his annual plan (pp. 26-27).

Under step five, it has been recommended that the faculty member should meet with his Evaluation Committee and then prepare a final draft of his annual plan, including procedures for monitoring progress. It is hoped that procedures for monitoring will include: (1) informal consultation by the participant with appropriate Evaluation Committee members as the need arises; (2) meetings with the faculty member's entire Evaluation Committee to discuss progress at least twice a year; (3) preparation of a written progress report to the faculty member's Evaluation Committee half way through the year and a subsequent meeting with the entire committee to review the progress report; and (4) a final report of self-assessment to the faculty member's Evaluation Committee and a subsequent meeting with that entire committee in preparation of their assessment (pp. 27-28).

In step six, the proposal at Gordon College is for the Faculty Development Committee to act as a body on all plans submitted by contracting faculty. The committee will then make one of the following recommendations: (1) approve the entire plan including total budget request; (2) approve the plan subject to certain contingencies and/or reductions in requested budget; or (3) not approve the plan and return it to the participant for major revision (pp. 28-31).

The final three steps that are being proposed at Gordon College for implementing this system are fairly self-explanatory. Under step eight the participant would prepare a self-assessment report for his or her evaluation committee that would contain the following: a self-assessment of growth and a description of the evidence used for the self-assessment. Upon the completion of step nine, it is hoped that the Gordon College Faculty Development Committee's files would contain the following items for each participant: (1) a faculty profile; (2) the first draft of the faculty member's Annual Development Plan; (3) the Faculty Development Committee's response to the first draft of the Annual Plan; (4) the final draft of the Annual Plan; and (5) the Faculty Development Committee action on the

final Annual Plan including a copy of the approved budget, the participant's self-assessment report, and the assessment of the Evaluation Committee (pp. 32-34).

It has been recommended that these files should only be accessible to the participants and the Faculty Development Committee. Secondly, it has been proposed that the participating faculty member file any or all of the following documents in his current file in the office of the Academic Dean: Faculty Profile, Annual Development Plan, Assessment Report, and Assessment of the Evaluation Committee. If these documents become a part of the faculty member's evaluation for salary increases, promotion, or tenure, then faculty development and faculty evaluation will indeed be linked into one program.

It is too early to tell whether or not this unique approach to faculty development and evaluation will succeed. Nevertheless, this writer believes that the probability for success is extremely high, primarily because of the program's emphasis on development first and evaluation second. This particular project is to be evaluated internally through submission of summary annual reports and externally, on a biannual basis, by a committee of outside consultant evaluators. Sabbatical Leaves of Absence in the program are to be evaluated through the submission, by each participant, of a report of achievement based upon the statement of objectives submitted in the leave proposal request. Positive reports from the individuals involved in the pilot test of this approach already suggest that the model is likely to receive wide acceptance.

## Conclusions

There has been a renewed interest in faculty development and faculty evaluation programs in higher education in recent years. As a result of this interest, we have seen traditional approaches to faculty development and faculty evaluation being called into question. This questioning has resulted in a variety of new faculty development and faculty evaluation programs. In the area of faculty development, many college administrators have established "centers for the improvement of teaching" to meet the developmental needs of their faculties, while in the area of faculty evaluation new comprehensive models are being proposed and tried at all levels. However, even with the new attention being given to these two topics, there remains much to be learned about faculty development and faculty evaluation programs in the United States. This paper has provided a description of the state of the art in terms of model building and program implementation. It has also suggested a number of areas for further research and investigation.

### *Additional Research Problems and Questions*

To date, very little has been conducted in the area of faculty development. What research we do have has focused primarily on the status of faculty development programs throughout the United States. This research suggests that there are certain types of faculty development centers and models emerging. These centers and models have been described as providing the following programs: instructional development, organizational development, faculty or professional development, personal development, and comprehensive faculty development. However, much more research will be needed before we will have a complete picture of the nature and impact of these new approaches on faculty and student behavior.

A number of research questions and problems still need to be answered in the area of faculty development. One major problem is that much of what we have learned about faculty development efforts in American higher education has been acquired through case studies written by the directors of the faculty development programs instead of by the participants in these programs. More objective research than this is needed if we are to acquire an accurate picture of these programs. Presently, John Centra of the Educational Testing Service

(ETS) is completing a national survey of faculty development programs. This survey should add to our understanding of the manner in which present faculty development efforts are being organized, conducted, and evaluated in this country. In addition to investigations such as Centra's, there is a need for research into the many facets and subcomponents of faculty development. For example, research studies are needed to determine the most effective methods for evaluating programs. Presently, it appears that very few faculty development programs have implemented sound evaluation procedures. There is a need for research that will determine the impact that faculty development programs have had on college faculty members, students, and on institutions in general. With the present shortage of funds throughout higher education, this type of research is necessary to provide justification for further funding and expansion of present development efforts. Answers are also needed to the following research questions: (1) What impact has collective bargaining had on faculty development programs? (2) How can needs assessment best be conducted in faculty development programs? (3) What are the most effective faculty development programs in terms of changes in student and faculty behavior?

In comparison to the area of faculty development, the area of faculty evaluation has received much more research attention. More research is available on the status of faculty evaluation systems than on the status of faculty development systems. Also, more research has been conducted on the various aspects of faculty evaluation than on the major components of faculty development. Literally hundreds of studies, for example, have been conducted in the area of student evaluation alone. Still, many research problems and questions remain in this area. One such problem is related to the description of the current status of faculty evaluation programs. We need descriptive data from the individuals who have been evaluated, i.e., the college faculty members themselves. Most, if not all, of the research reviewed in this paper and elsewhere on the status of faculty evaluation gathered data from college administrators, e.g., college deans, presidents. More research is needed to determine how college faculty members view both the new as well as the more traditional systems of faculty evaluation. Current research shows that administrators are highly satisfied with present faculty evaluation systems. What we don't know is the degree of faculty satisfaction with current evaluation systems.

Based on the research reviewed in this report on student, administrator, colleague, and self-evaluations of college teachers, it would

appear that a great deal more research is needed in these areas, especially the last three. It can be safely concluded from the research that student rating forms have been and can be designed that are characterized by high reliability. It can also be said that some major progress has been made in the validation of student rating forms; however, many of the validation studies reviewed here suggest that we still need to validate student ratings in terms of student learning. Until the validation of student ratings has been established, it would seem appropriate for colleges also to explore the reliability and validity of other faculty evaluation methods.

Finally, we need research on faculty evaluation systems that have stressed faculty development over faculty evaluation. This type of research should help us decide whether or not faculty development and faculty evaluation programs can, as this paper maintains, be joined together into one program.

*A Proposal*

This review has led the writer to conclude that American higher education is still in the very early stages of developing useful theories and effective approaches for faculty development and faculty evaluation. The conclusion has also been reached that the faculty development and faculty evaluation functions of higher education would be more effectively carried out in one program instead of the usual two in our institutions of higher learning. It is proposed here that the "growth contracting" process offers one of the best models for achieving in one program the major goal of most faculty development and faculty evaluation programs, i.e., the improvement of college teaching.

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